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ABSTRACT

The general organization and functioning of the institution is reviewed in this 1972 handbook, along with various rules, procedures, and conventions. Some parts quote those formulations that have the effect of law throughout the university, such as bylaws and various policy statements formally adopted by the Board of Trustees, and rules promulgated by the University Senate. A historical sketch of the university, its organization and administration is presented, followed by details of interest to the faculty. These include: membership and meetings; titles; academic freedom and tenure; appointment; retirement; oath of office; teaching assignments; academic responsibilities; salaries; outside employment; degree candidacy; benefits; sabbatical leave; and awards. The library system is described, as are academic auxiliaries, services and facilities, social clubs, public relations, research, and policies on good order and discipline. (LBH)

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Faculty Handbook
New York University

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A privately endowed and privately governed university dedicated to the public service

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NATIONAL INSTITUTE OF EDUCATION

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Foreword

This Handbook is designed to acquaint members of the faculty and administrative staff of New York University with the general organization and functioning of the institution, and with various rules, procedures, and conventions. In keeping with this purpose, it has been compiled from a number of sources, and as a result some parts quote those formulations that have the effect of law throughout the University, such as the Charter granted by New York State, the Bylaws and various policy statements formally adopted by the Board of Trustees, and rules promulgated by the University Senate. A careful attempt has been made to set forth such passages so as to prevent their being confused with those which merely describe practices that have evolved or have been adopted administratively over the years, as in the descriptions of certain University offices and facilities. (Matters that have the effect of law are subject to reasonable interpretation by the officers charged by the Bylaws with that responsibility, but can be changed only by action of the body or bodies that enacted them. Matters not in this category may be modified by administrative action from time to time as may prove advisable.)

A handbook intended for University-wide use in an institution of this size must necessarily be concerned with general matters, if it is not to become unwieldy. The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations.

In view of the rapidity with which changes in organization can occur, it is expected that this Handbook will be periodically brought up to date.

HISTORICAL SKETCH

The Charter of New York University, dated April 18, 1831, represented the climax of a year and a half of effort by a company of dedicated men who conceived and developed the idea of creating the first university in the city and in the state of New York. The new institution was cast, not in the mold of the traditional English college, but in the image of the great universities on the continent of Europe and of the then recently established University of London. It was to rise "on a liberal foundation, which shall correspond with the spirit and wants of our age and country, which shall be commensurate with our great and growing population, and which shall enlarge the opportunities of education for such of our youth as shall be found qualified and inclined to improve them."

Nine men who met in December of 1829 constituted the initial group of founders. Two of them were clergymen: the Reverend J. M. Mathews, Pastor of the Dutch Reformed Church, and the Reverend J. M. Wainwright, Rector of Grace Church; two were physicians: Dr. John Augustine Smith and Dr. Valentine Mott; two were merchants: Isaac S. Hone and his partner, Myndert Van Schaick; one was a lawyer, District Attorney Hugh Maxwell; one was a banker, John Delafield, cashier of the Phenix Bank; and the ninth was his brother, Joseph Delafield, President of the Lyceum of Natural Science and described as "a man of leisure." These nine men and their successors drafted the plans for the new university, enlisted the help of such outstanding public figures as General Morgan Lewis, held public hearings, formed a governing council of thirty-two members, adopted the first statutes for the University in January of 1831, elected Albert Gallatin as the first President of the Council and the Reverend J. M. Mathews as the first Chancellor, addressed a memorial to the legislature, and accepted the Charter after it had been signed by the governor. (Until 1956, the governing body, now the Board of Trustees, was known as the Council, and the chief executive officer of the University bore the title of Chancellor.)

The founders decided that the new university, in an era when higher education was under aristocratic and religious domination, would open positions on its faculty to persons of all faiths and would devote its resources to preparing students from all segments of society, including "the sons of merchants, farmers, and mechanics," for useful lives in the professions, in business, and in industry. The founders planned two departments, one for traditional collegiate education in the classics, literature, and science; the other for preparing students for both the old and the new careers of the times, including instruction "in pedagogical method for those who would teach in the common schools." Clearly New York University was planned from the beginning to be exactly what it has become: a private university in the public service.

Courses of lectures in philosophy and religion were sponsored in the winter of 1831-1832, and the first formal classes were held in the fall of 1832 in Clinton Hall on the southwest corner of Nassau and Beekman Streets, marking the beginning of the University College of Arts and Science. Owing to the limitations of the original public subscription by which money for the new institution was raised, only one of the departments was in being when the University first opened its doors, and the

first instruction was accordingly restricted to the traditional classical studies then current in American colleges and universities.

In 1835 the Council approved a plan for instruction in the law, as submitted by Benjamin F. Butler, Attorney General in the cabinets of Presidents Jackson and Van Buren, thus inaugurating the first of the professional divisions. In the autumn of that same year, the University moved into its first permanent quarters, a Gothic structure begun in 1833 and located on the east side of Washington Square where now stands the Main Building. Next in order of establishment was the Medical Department, later the College of Medicine, in which instruction was begun in 1841. In 1947, the College of Medicine (renamed School of Medicine in 1960) was expanded into the comprehensive New York University Medical Center, which now includes, in addition to the School of Medicine, the Post-Graduate Medical School (founded as a separate institution and incorporated into the Medical Center in 1948), University Hospital, and related units.

The University Bulletin issued in the spring of 1854 announced the establishment of a "School of Civil Engineering and Architecture," and in the following September formal engineering instruction was begun with an initial enrollment of eight men. In 1892 the School broadened its scope to include applied chemistry, anticipating the further enlargement of the program in 1899 to include degrees in civil, chemical, and mechanical engineering. Coincident with this expansion, the name was changed to the School of Applied Science, a title which was retained until 1920, when it became the College of Engineering. The present designation, School of Engineering and Science, was adopted in 1963.

With the organization in 1886 of the Graduate School (renamed Graduate School of Arts and Science in 1940), the University entered a period of expansion in graduate and professional study. One division of this new graduate department developed in 1890 into the School of Pedagogy (renamed the School of Education in 1921), the first of its kind to be established as a part of an American university.

The College of Business and Public Administration (so named in 1971, originally called the School of Commerce, Accounts, and Finance, and later the School of Commerce) was organized in 1900. From it was developed the Graduate School of Business Administration, organized in 1916 as the Graduate Division of Business Administration and renamed in 1920.

In 1894 the undergraduate liberal arts and engineering programs were removed to the new campus at University Heights. Early in the twentieth century, however, it was found expedient to resume some undergraduate liberal arts work at the Washington Square center. This work, at first limited to juniors and seniors, was finally, in response to insistent student demand, expanded to include freshmen and sophomores; and accordingly, in 1914, Washington Square College (renamed Washington Square College of Arts and Science in 1940) was established.

In 1925 the New York College of Dentistry, an independent school founded in 1866, was incorporated into the general University structure as the College of Dentistry. In 1971, the College, while retaining its name, became the core of the Brookdale Dental Center of New York University.

The Graduate School of Public Administration and the Graduate School of Social Work were established in 1960 as separate entities, after having constituted a combined Graduate School of Public Administration and Social Service, which had its origin in 1938.

The School of Continuing Education and Extension Services, formerly called the Division of General Education and Extension Services, was organized in 1934 through the amalgamation of the Institute of Education (1923) and the University Extension Division (1926), the latter of which was in turn a renaming of the Extramural Division founded in 1908.

The School of the Arts was organized in 1965.

Thus at this stage in its development, through these fifteen schools and colleges and other related divisions, such as the Courant Institute of Mathematical Sciences, the Institute of Fine Arts, and the Institute of Rehabilitation Medicine, New York University offers its students remarkably varied programs of study in many different fields of higher education.

Schools of the Past

At times, schools with specialized objectives have been formed and either have been absorbed into other parts of the University or have been discontinued. The most recent of these changes occurred in connection with the School of Retailing. Beginning in 1916, training courses for department store personnel were offered at the University. They grew into a School of Retailing, which began operating in 1921 and had various cooperative arrangements with the School of Commerce, Accounts, and Finance, the School of Education, and Washington Square College. In mid-1964, the faculty and program were allocated to the School of Commerce and the Graduate School of Business Administration.

As far back as 1899 there was a veterinary college at New York University. The New York State Veterinary College was located here and was discontinued only when state support was withdrawn in 1922.

For many years, New York University conducted a special arrangement with the Bellevue and Mills Schools of Nursing, under which instruction in the liberal arts was given at Washington Square and a five-year program leading to a baccalaureate degree was maintained. This arrangement, which began in 1942, was in force until the fall of 1969.

At least one school has grown up inside another school and remained there. The Daniel Guggenheim School of Aeronautics was formed in 1925. It continues as a part of the School of Engineering and Science.

A College of Fine Arts, offering degrees in both fine arts and architecture, was formed in 1928. Seven years later its name was changed to the School of Architecture and Allied Arts. It enrolled students under that title until it was discontinued in 1941 by the governing board of the University. Instruction in fine arts was carried forward by the Institute of Fine Arts, which now functions educationally as a department of the Graduate School of Arts and Science.

In 1968, in a somewhat different kind of amalgamation, the formerly independent New York College of Music was incorporated into the Division of Music Education of the School of Education.

The University Libraries: a Brief History

During its early years, New York University, in the urban tradition, drew upon the library resources of the community to provide the best research tools for students and faculty alike. Close working relationships were accordingly established with The New York Society Library and many other specialized libraries throughout New York City, while the University's own collection grew slowly, chiefly by donations of books, and was concentrated in the professional fields of Law and Medicine.

With the movement of the University center to University Heights in 1894, the Gould Memorial Library was established to provide within the University the level of library service necessary to support the curriculum. The schools at Washington Square continued at first to rely basically on the library resources available in the city, but in 1921 began assembling a library in Main Building.

The growth of public higher education and the overwhelming demands placed upon the traditional urban sources of academic library research within New York City led the University to embark on a bold new program to create research library resources to be devoted primarily to the University community.

Attention was first turned to the professional schools where the need for expanded facilities had become most pressing. The completion of Vanderbilt Hall in 1951 provided excellent facilities for the Law Library. In 1957 the Medical Library expanded into a new building to assure its development to meet the needs of the advanced programs of the Medical Center. The Meyer Gold Library at Trinity Place, the Begrisch Engineering Library at University Heights, and the Fine Arts Library, 1 East 78th Street, closely followed. In 1962 the commitment was made to create a major University library at Washington Square, the Elmer Holmes Bobst Library and Study Center, scheduled for completion in 1972.

Name, Seal, Motto, and Color of New York University

Although the name under which the University was originally chartered was the "University of the City of New York," the institution from the beginning was commonly known as New York University, and the name was officially so changed in 1896. Despite the seemingly public nature of the name, New York University has always been an independent and autonomous institution of higher education, financed primarily by private endowments, current gifts, and fees. It is not to be confused with other institutions having similar names, the oldest of which is the University of the State of New York, created originally in 1784 as a corporation authorized to charter and control institutions of higher and secondary education in the state; it is now the corporate name of the State Education Department headed by the Board of Regents.

Another, and more recent, such foundation is the State University of New York (SUNY), established in 1948 to coordinate and develop under a board of trustees the state-financed institutions of higher education; still another is the City University of New York (CUNY), established in 1961 to coordinate the municipally supported colleges governed by the Board of Higher Education of the City of New York.

The official seal of New York University combines a silver ceremonial "torch of learning," which is carried in formal academic processions, with a group of four running figures symbolizing effort or striving in the pursuit of learning. The seal carries the Latin motto "Perstare et Praestare," which is generally translated as "to persevere and to excel," together with the name of the University and the roman numerals for 1831, the year of the founding of the institution. When reproduced, the darker portions of the seal are usually printed in violet, the official color of the University.

In recent years, a simplified version of the torch alone has been abstracted from the official seal and has gained wide acceptance when used as a symbol of New York University to identify publications, letterheads, buildings, etc. It appears on the cover of this Handbook.

The origin of the University color, violet, is obscure. It may have been chosen because in years gone by violets are said to have grown abundantly in Washington Square and around the buttresses of the old Gothic building. On the other hand, it may have been adopted because the violet was the flower associated with Athens, that center of learning in the ancient world, and was thus regarded as an appropriate symbol of education and knowledge. Both considerations may have entered into the selection, of course. Over the years, various shades of violet have been used as the University color. In 1964, however, the University Senate decided that the official standard for University use would be a particular bluish shade of violet, that registered with the Color Association of the United States as "Mayfair Violet, 17575." The Senate also decided at that time that the academic robes for the University would be produced in Mayfair Violet.

ORGANIZATION AND ADMINISTRATION

The University Charter

New York University, as an educational corporation of the State of New York, derives its powers from a charter granted by act of the State Legislature in 1831. The original charter has been amended from time to time, most recently by the State Board of Regents on March 1, 1963.

The line of authority in the administration of the University may be viewed as proceeding from the Board of Trustees to the President and then to the Chancellor, at which point there is a division into two general areas that may be called the corporate and the academic.

The Board of Trustees

The University is governed by a Board of Trustees consisting of forty men and women, about half of whom are former students of the University. Four are specifically designated as "Alumni Trustees"; one such Alumni Trustee is elected each year. All Trustees serve four-year terms, and, except for the Alumni Trustees, who may not succeed themselves in that capacity, are eligible for reelection at the end of a term in office. Terms are staggered so that one quarter of the Board is elected each year. The Trustees have enacted Bylaws that outline the basic structure of the University, and determine the principal officers and agencies that will deal with its affairs, and the ways in which those affairs are to be conducted.

The Board of Trustees meets at least five times a year. At the annual meeting in October, the Trustees elect their own Chairman and Vice Chairmen, who serve until the next election. Between meetings, the Executive Committee has broad authority to act for the Board, subject to subsequent ratification of its actions. The Finance Committee is responsible for investing the funds of the University and for recommending the acquisition and disposition of property. The Buildings and Grounds Committee is concerned with all matters relating to the physical plant of the University. The Membership and Honors Committee nominates members and officers of the Board and recipients of honorary degrees. The Audit Committee reviews the financial and accounting reports of the University.

Trustees occupy central positions on the President's Councils, which are groups of distinguished citizens who keep abreast of developments in the several schools and colleges of the University and advise the President on needs and trends. The conduct of educational matters throughout the University, however, is entrusted, under the leadership of the President, to the faculties of the individual schools and to the University Senate.

Some of the University Trustees also serve on the auxiliary governing board that administers the complex known as the New York University Medical Center, which includes the School of Medicine and the Post-Graduate Medical School, the Institute of Rehabilitation Medicine, University Hospital, and attendant laboratory and clinical facilities. The Institute of Fine Arts is likewise governed by a Board of Trustees of its own, which also shares some membership with the Board of the University.

The President

The President is the chief executive officer of the University. He is elected by the Board of Trustees and is himself a Trustee, the only University officer who is also a member of the Board. He recommends all appointments to faculty and administrative positions for Board approval. He is ex officio the head of each faculty and the presiding officer of the University Senate. The President is aided by other officers, including the Chancellor, a number of Vice Presidents, the Secretary, and the Treasurer and Controller. He has authority "to call upon any and all other officers of administration or instruction in the University for assistance in the performance of his duties," which include "the supervision and direction of all University activities," the administration of educational policies, and concern for student welfare and development.

The President is required to consult with a representative committee of the faculty of a school or college before recommending to the Board the appointment of a dean for that school or college, and to consult with the Senate before making a recommendation on changes or innovations in matters within the competence of the University Senate. However, he has broad powers to revise the table of organization and to modify the titles and assignments of administrative officials.

The Chancellor

The Chancellor is "the general assistant to the President in all matters," and takes over the duties of the President in the latter's absence. The direct administration of the operations of the University, including educational programs, services, and business matters, is conducted by the Chancellor, to whom vice presidents, vice chancellors, deans, and other officers report in the performance of their duties and in making proposals for new activities. The Chancellor directs the preparation of the budget and supervises the expenditures of the University. He is responsible for the supervision of the educational program of the University in the several schools, colleges, institutes, departments, and divisions. His office serves as the primary source of authorization for all appointments, expenditures, and new programs.

Corporate Management

The responsibility for conducting the business affairs and corporate management of the University is assigned to the Vice Presidents for facilities and for services, the Treasurer and Controller, the Secretary, and other officers who supervise legal, developmental, and public relations work of the University.

The Treasurer and Controller. The Treasurer and Controller is the chief accounting and financial officer of the University, who is charged with seeing that "the rules and regulations prescribed by the Board for the government of the business and financial affairs of the University are faithfully observed." He has assistant treasurers and assistant controllers who supervise accounting, the receipt and disbursement of funds, and associated data-processing operations (excluding the academic computer centers) at all divisions of the University, including the Medical Center.

The Vice President for Institutional Facilities. The Vice President for Institutional Facilities is concerned with real estate acquisitions and operations, and with the maintenance, construction, and remodeling of buildings for classroom and office use, libraries and laboratories, residence halls, student recreational facilities, and investment properties.

The Vice President for Administrative Services. The Vice President for Administrative Services is responsible for the business services and auxiliary enterprises of the University. His duties include supervision of the personnel program, office services, services to the faculty, purchasing, insurance, student housing, campus stores, and food services.

The Secretary. The Secretary of the University is the custodian of the Charter and Bylaws of the University, of the seal, and of such official records as the minutes of the meetings of the Board of Trustees, which go back to the founding of the University. He supervises the issuance of diplomas, certificates, and testimonials, the conduct of ceremonial occasions, and in general serves as the secretary of the educational corporation that is New York University.

The General Counsel. The General Counsel is the chief legal officer of the University. He provides legal advice upon request to various officers of the University, and he coordinates the work of outside law firms that may be retained to conduct litigation or perform other specialized services. At the present time the General Counsel is also Secretary of the University.

Development and Public Relations. The Vice President for Development is responsible for fund-raising activities designed to provide long-range financial security. The Director of Public Relations has general supervision of the University News Bureau, the Publications Bureau, and other related activities.

Academic Administration

The academic administration of the University is shared by general and regional University officers, school and departmental officers, the faculties

of the several schools, the University Senate, and various University and interschool councils and commissions.

The Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs assists the Chancellor in planning and administering the instructional, research, and public service programs of the University. He is an ex officio voting member of each of the faculties.

The Vice President for Health Affairs. The Vice President for Health Affairs is the Director of the Medical Center and has general responsibility for its programs in education, research, and patient care. He works closely with the Medical Center Board of Trustees and is an ex officio voting member of the faculties of the School of Medicine, Post-Graduate Medical School, and College of Dentistry.

The Provost of University Heights. The Provost of University Heights is the "chief executive officer at University Heights and the general assistant to the Chancellor in the administration of the academic units and facilities at University Heights," having general oversight of educational programs, student and faculty affairs, and the physical environment.

Other Officers Assisting the Chancellor. Reporting directly to the Chancellor are a number of other officers, including those bearing the titles listed here:

Assistant Chancellor(s)
Dean of the Libraries
Director of Institutional Research and Planning
Director of the New York University Press
Director of the University Budget
Director of the University Summer Sessions
Director(s) of Student Activities (at Washington Square and at University Heights)
Vice Chancellor(s)

Deans. The dean of each school, as the administrative head of his school, is "responsible for carrying out the policies of the University" and for executing "such rules as the faculty of his school may from time to time adopt." He presides at faculty meetings, supervises the work of faculty members, and makes recommendations to the Chancellor for the appointment, promotion, tenure as appropriate, dismissal, and retirement of officers of instruction and administration in his school. He is responsible for the preparation and submission of the budget for his school and for its implementation when approved. (See Bylaw 52.) Offices such as that of Executive Dean or Dean of the Faculty of Arts and Science have from time to time been created to supervise or coordinate the activities of two or more schools or of their faculty members.

The Dean's Council (see Bylaw 42) meets monthly in the interest of University-wide coordination of administrative practices.

Departmental Organization. The President is authorized to divide courses of instruction into departments. The chief executive officer of a department

within one school bears the title of "chairman," and is responsible to the dean of that school. The chief executive officer of a University department, created to provide instruction in more than one division of the University, bears the title of "head" and is responsible through the appropriate deans to the Chancellor.

The Role of the Faculty. Bylaw 61, under the heading "Responsibilities of the Faculties," reads as follows:

> (a) The educational conduct of each of the several schools and colleges, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the schools, and to such officers of the schools as the Board may appoint.
>
> (b) Subject to the approval of the Board and to general University policy as defined by the President and the Senate, it is the duty of each faculty to determine entrance requirements of the school under its care, to determine courses of study to be pursued and the standards of academic achievement to be attained for each degree offered, to prepare a schedule of lectures, to make and enforce rules for the guidance and conduct of the students, and to certify to the President, for recommendation to the Board, qualified candidates for degrees and certificates.
>
> (c) Each faculty shall make and enforce rules of eligibility for the participation of its own students in athletics and other extracurricular activities. However, the University requirements for student participation in intercollegiate athletics shall be determined by the Senate on the recommendation of an appropriate committee of the several faculties and shall be uniformly applied in the schools concerned therewith.

(See also the details in subsequent sections of this Handbook: Faculty Membership and Meetings, and The University Senate.

The Faculty Council. Each of the faculties, according to its size, has one, two, or three representatives on the Faculty Council, a University-wide body of twenty-four elected professors, that is empowered to consider any matters of educational and administrative policy and to discuss these matters at any time with the President and on occasion with the Executive Committee of the Board of Trustees. The Faculty Council constitutes over a third of the voting membership of the University Senate, on which deans, University administrators, and student representatives also sit.

Graduate Commission. Each school that offers graduate work is represented by its dean and one elected faculty member as voting members and by one elected student as a nonvoting member on the Graduate Commission, which has power, subject to approval of the Senate, to recommend to the President and the Board general policies respecting graduate study in the University leading to masters' and doctors' degrees in course except first professional degrees. Faculty members also serve on other interschool commissions concerned with educational matters, such as the Commission on Teacher Education, the Commission on Coordinated Liberal Studies, and the University Committee on Athletics.

The Administration of Student Affairs

Each school makes provision for the organization, conduct, and supervision of intraschool student affairs. Interschool activities are organized on a geographical basis, as with the Gould Student Center at University Heights and the Loeb Student Center at Washington Square, or on a University-wide basis, as is the case with the Division of Athletics. The Student Senators Council, acting with the University Committee on Student Life, has special responsibilities for studying and making recommendations in this area.

University Bylaw 62 provides that "the power of suspending or dismissing a student in any school is lodged with the voting faculty of that school, but the President or the dean of a school, or their respective representatives, may suspend a student pending the consideration of his case by his faculty. The Senate shall have power to act in situations involving more than one school." In general, each school handles breaches of academic discipline, such as plagiarism or cheating on examinations. Matters involving breaches of the peace or disruptive disturbances are likely to come within the jurisdiction of the Senate, which has approved a Statement of Policy on Student Conduct and Rules Regulating Student Disciplinary Proceedings at New York University, as well as a general set of Rules for the Maintenance of Public Order. (The first and last mentioned of these documents appear in Appendix B of this Handbook.)

The University Senate

The first bylaws to contain a description of the University Senate and an outline of its powers and duties appeared in 1899. Since that time, the importance and the influence of the Senate have grown steadily. The bylaws approved by the Board of Trustees on May 27, 1968, were the first to provide for multiple faculty representation according to the size of each school's faculty. (Those interested in complete details are referred to the relevant bylaws of the University—Chapter III complete and portions of Chapter IV.)

In summary, the University Senate is empowered to act upon "educational matters and regulations of the academic community that affect more than one school." Senate decisions in such matters are binding upon all faculties unless overruled by the Board of Trustees on an appeal lodged by a faculty. University-wide commissions report their findings and recommendations to the Senate. In addition, it is the deliberative body of the University for academic policies, structure, and procedures, including proposals for changes; it is concerned with the academic program and structure, personnel and budgetary policies, development of facilities, and community, professional, and educational relations of the University. It makes recommendations to the President, and, through the President, to the Board of Trustees concerning the policies and practices of the University. The Senate may also make recommendations for consideration by each of the faculties concerning their internal educational programs and policies. The Senate is authorized to define the educational terms used in catalogs, bulletins, and other announcements, upon which it may also make advisory recommendations; it is responsible for fixing the academic calendar and determining the length of terms and vacations, for

arranging the Commencement exercises and establishing regulations on academic costume, and additionally has certain duties that devolve upon it by the terms of the constitution of the Hall of Fame for Great Americans, which is held in trust by the University.

There are sixty-five Senators including the President, who presides by virtue of his office. The general membership comprises the twenty-four elected faculty members, the fourteen academic deans, sixteen elected students, and ten officers of central administration. The twenty-four faculty members are elected—one, two, or three per school or college—from the faculties of the constituent schools of the University listed in By-law 51, according to the number of full-time members in their professorial ranks. (For this and other purposes, the faculties of the School of Medicine and of the Post-Graduate Medical School are regarded as one medical faculty.) Faculty Senators are divided into three classes with staggered three-year terms of office. The deans hold their seats ex officio, as do five of the administrative members. The other administrative Senators are designated at the discretion of the President. One student Senator is elected annually from each school or college, except that two schools, which include both undergraduate and graduate divisions, elect one student Senator from each division.

Some understanding of how the Senate functions may be gained by considering its councils, and the structure and interests of its committee system. The faculty Senators constitute the Faculty Council; the academic deans belong to the Deans Council; the students are organized as the Student Senators Council. All these groups meet regularly, apart from the full Senate, to discuss matters of concern to their respective areas of interest, and their reports and recommendations are regularly brought to the attention of the full body.

The standing committees, all of which include members drawn from these three Councils, include an Agenda Committee and an Assignments Committee, that are concerned with the internal operations of the Senate itself. The Executive Committee, composed of the President, the Chancellor, and the chairmen of the three Councils, is authorized to act upon urgent matters when the full Senate cannot be convened. The remaining committees—the names of which indicate their areas of responsibility—are the Budget Policies Committee, the Commencement Committee, the Hall of Fame Committee, the University Development Committee, the Educational Policies Committee, which has a regular subcommittee on the Calendar, the Organization and Governance Committee, and the University Facilities Committee. A number of other committees, although loosely classed as Senate Committees, are not drawn from all sectors of the body, having their membership otherwise established. Of these, the Faculty Personnel Committee is specified by Bylaw 41(c) to be identical to the Faculty Council. The Faculty Tenure Committee, a hearing body, is composed of ex-Senators from the Faculty Council, and the Honors Advisory Committee is composed of faculty members and students invited to consult with the Board of Trustees about honorary degrees.

The Senate meets once each month during the academic year and at other times, upon three days' notice, at the special call of the President, or by written request of five members.

THE FACULTY

Faculty Membership and Meetings

The Bylaws of the University are explicit on the matter of who is a faculty member and on how voting rights are allotted; the relevant texts are reproduced here.

Bylaw 64. Faculty Membership. (a) The voting members of each faculty shall consist of the President, the Chancellor, the dean of the school, and the professors, associate professors, and assistant professors who serve on a full-time basis. In addition, the Provost of University Heights shall be ex officio a voting member of the faculty of University College of Arts and Science, of the School of Engineering and Science, and of the Graduate School of Arts and Science; the Vice President for Health Affairs shall be ex officio a voting member of the faculty of the School of Medicine, of the Post-Graduate Medical School, and of the College of Dentistry; and each vice president or vice chancellor who has academic responsibilities shall be ex officio a voting member of the faculty of each school in his purview.

(b) In addition, professors emeriti, adjunct and clinical and visiting professors of each grade and research professors without tenure of each grade, instructors, lecturers, master teachers, teachers, master artists, and artists-in-residence, whether they teach on a full-time or part-time basis, are entitled, subject to school regulations, to attend faculty meetings, but they shall not have the right to vote at such meetings, except as provided below. Every year, each faculty through affirmative action of its voting members as specified in paragraph 64(a) may in its discretion, and according to its own qualifications, grant voting privileges to all or some of the individuals described above on matters affecting that school only, and excepting matters directly or indirectly affecting the individual's candidacy for a degree or his status on the faculty at New York University, and the election of members of the Faculty Council or University commissions.

(c) An officer of instruction serving on a full-time basis in the University shall be a full-time member of the faculty of each school in which he gives instruction regularly, but shall have voting rights in the election of members of the Faculty Council only in the school of his principal assignment as determined for this purpose by the President.

(d) The roster of faculty members entitled to voting rights in each school under paragraphs (a), (b), and (c) shall be prepared and maintained on a current basis by the dean of the school, shall be submitted to the Secretary of the University for verification and filing in the official records, and shall be available for reference at each faculty meeting.

Bylaw 65. Faculty Meetings. Each faculty shall hold at least four meetings each year, at such times and places and under such rules of procedure, consistent with these bylaws, as it may determine. Copies of the minutes of such meetings shall be sent to the President and the Chancellor.

Faculty Titles

In 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appears in a later section headed "Statement in Regard to Academic Freedom and Tenure." The Bylaws in effect at that time gave only brief descriptions of faculty titles; new Bylaws adopted since then give more ample descriptions. The text of Bylaws 71, 72, and 73, approved May 27, 1968, as amended through May 1971, will be found below. It should be understood that in the event of conflict between earlier and later statements by the Board, the most recent statement governs.

Bylaw 71. Professors and Associate Professors. Professors and associate professors are usually appointed to serve on a full-time basis, and only full-time professors and associate professors may achieve permanent or continuous tenure at the University. Unless otherwise specified, professors and associate professors are appointed for one year only, but they may be appointed for a longer period or without limit of time, subject to such rules respecting tenure as the Board may adopt.

Bylaw 72. Assistant Professors and Instructors. (a) Assistant professors and instructors are usually appointed for one year only, but full-time service in these ranks may be counted, to the extent permitted under the rules of the Board, toward the attainment of tenure by assistant professors and instructors who are promoted to the rank of associate professor or professor.

(b) A full-time assistant professor who is not promoted at the expiration of six years as a full-time assistant professor, or after seven years of service in the ranks of instructor and assistant professor, shall be ineligible for further full-time appointment in the University. An exception is made only for faculty members appointed as full-time assistant professors before March 22, 1954.

(c) A full-time instructor shall not ordinarily serve for more than three years in that rank, and if not promoted at the expiration of six years as an instructor shall be ineligible for further full-time appointment in the University.

(d) The appropriate dean or departmental chairman shall as a matter of academic courtesy give notice of these rules to full-time assistant professors and instructors in the fifth year of their respective ranks, but no assistant professor or instructor shall be promoted or acquire tenure rights on the ground that he did not receive a notice or reminder of this section of the Bylaws.

Bylaw 73. Nontenure Positions. Instruction or research service shall be without tenure implications of any kind, regardless of rank or title, if rendered in a part-time capacity, or in a temporary position, or in a program having a subsidy of limited duration. Appointment to a nontenure position shall be for a definite period of time, not exceeding one academic year unless otherwise specified, and shall

automatically terminate at the close of that period unless there is an official notice of renewal. Nontenure positions include the following:

- research professor, research associate professor, research assistant professor (except when the title of research professor is conferred as a distinction upon a person already having tenure at New York University);
- adjunct professor, adjunct associate professor, adjunct assistant professor;
- clinical professor, clinical associate professor, clinical assistant professor;
- visiting professor, visiting associate professor, visiting assistant professor
- senior research scientist, research scientist, associate research scientist, assistant research scientist;
- lecturer, master teacher, teacher, master artist, artist-in-residence;
- teaching fellow, teaching associate, teaching assistant;
- associate, research associate, assistant, clinical assistant, graduate assistant, research assistant.

Any position designated by a title not specified in this chapter shall be a nontenure position unless the Board determines otherwise.

Comments on Certain Teaching Staff Titles. The title Acting Professor (or Acting Associate Professor or Acting Assistant Professor) is applicable to a temporary appointee of appropriate caliber who may succeed to unqualified appointment to the rank thus tentatively occupied but who ordinarily has no assurance of such succession. Occasions for such temporary appointment are rare and are employed only when other designations fail to satisfy the circumstances.

The title Visiting Professor (or Visiting Associate Professor or Visiting Assistant Professor) is ordinarily applicable to an appointee who is a member of the teaching staff on leave of absence as a full-time teacher of corresponding professorial rank from another institution. The duration of the appointment of a visiting professor normally shall not exceed one year.

The title Research Professor (or Research Associate Professor or Research Assistant Professor) may be employed as a courtesy title without tenure implications. In the case of regular members of the teaching staff it is ordinarily restricted to those of full professorial rank who have previously attained tenure. Those serving temporarily on year-to-year appointment under research contract and who are engaged incidentally in temporary teaching assignments may be accorded such titles without tenure implications.

The title Clinical Professor (or Clinical Associate Professor or Clinical Assistant Professor) is applicable in the medical and dental divisions to an appointee whose professional attainments are comparable to those required for the regular professorial grades but whose teaching service is part time.

The title Adjunct Professor (or Adjunct Associate Professor or Adjunct Assistant Professor) is applicable to an appointee whose academic preparation and professional attainments are such as to meet the qualifications for the regular professorial grades as set forth in the tenure statement but who

usually does not have a current professorial connection with any other institution and is appointed to teach, usually a part-time program, in New York University on a purely temporary basis. Appointment in these ranks is made on a year-to-year or semester-to-semester basis.

The title Lecturer is applicable to an appointee who is an individual of distinction in his professional field, who is not otherwise on the teaching staff of the University, and who is engaged to give a series of lectures or to teach on a part-time basis during a specified semester or year.

The title Associate is applicable to a person temporarily attached to the University for the primary purpose of carrying out a specified project, including limited teaching duty, who shall have completed the doctorate or shall have clearly demonstrated equivalent attainment in experience and proficiency in his special field. (The title Research Associate is not a teaching title, but is applicable to comparable personnel having duties other than teaching.)

The title Teaching Associate may be applied to a person carrying a full teaching load who may also be taking courses at New York University in certain specified programs.

The title Teaching Assistant is applicable to a person temporarily attached to the University in a teaching capacity who, through successful graduate study or field experience, shall have demonstrated special aptitude for the duties assigned. (The title Assistant is reserved for all nonteaching personnel for whom such designation is appropriate.)

The titles Teaching Fellow and Graduate Assistant are applicable to graduate or postgraduate students pursuing prescribed programs of study at this institution who, because of outstanding qualifications, are appointed to part-time teaching duties concurrent with their academic programs. (The title Fellow is used for the incumbency of certain graduate fellowships which entail no teaching responsibility.)

The designations Lecturer, Teaching Associate, Associate Teacher, Master Teacher, Master Artist, Artist-in-Residence, Teaching Fellow, Graduate Assistant, and Teaching Assistant, whether gained at New York University or elsewhere, do not fall within the academic hierarchy (i.e., instructor, assistant professor, associate professor, professor) that may lead to tenure at New York University, and service in such capacities, irrespective of its duration or where it was rendered, whether full time or part time, is not creditable toward tenure requirements at New York University.

The title of Distinguished Professor may be conferred upon a faculty member of great renown, who is not otherwise the holder of a named (endowed) professorship, while still on active service with the University. This title requires the recommendation of the academic department, supported by the dean of the school concerned, and is subject to specific approval by the University Senate.

See also Faculties and Faculty Meetings.

Academic Freedom and Tenure

To accompany the comprehensive policy statement of 1960 on the subject of permanent or continuous tenure, the Board of Trustees also adopted a formal set of procedures to govern an action to separate for cause a tenured member of the faculty. More recently, on the recommendation of the University Senate, which approved proposals originating in the Faculty Council, the Board has adopted University-wide procedures for notification of appointment as well as a policy for handling disciplinary problems involving members of the faculty. In addition, during the 1970-1971 academic year, the Senate enacted a set of procedures for handling faculty grievances.

The tenure statement and the procedures for appointments follow in this section; the policies for grievances, discipline, and dismissal appear in Appendix B to this Handbook.

Title I: Statement in Regard to Academic Freedom and Tenure

(Adopted by the University Board of Trustees, October 24, 1960, and amended through April 26, 1971)

I. Authorization by the Board of Trustees *

The Board of Trustees of New York University has authorized the following statement in regard to academic freedom and tenure at New York University. It reserves the right to amend this statement at its discretion but no amendment shall take away a status of permanent or continuous tenure acquired before such amendment.

II. The Case for Academic Freedom

Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.

III. The Case for Academic Tenure

Academic tenure is a means to certain ends, specifically: (1) freedom of teaching and research; and (2) a sufficient degree of economic security to make the profession of teaching attractive to men and women of ability.

IV. Academic Freedom

The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his other academic duties, but outside occupations and research for pecuniary

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* The references to the Bylaws and a number of the sectional headings have been added.

gain, except in the case of sporadic and wholly unrelated engagements, should be based upon an understanding with the administration of the University.

The teacher is entitled to freedom in the classroom in discussing his subject, but he should not introduce into his teaching controversial matter that has no relation to his subject.

The teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he speaks or writes as a citizen he should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As a man of learning and an educational officer he should remember that the public may judge his profession and his institution by his utterances. Hence he at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of his institution, and while properly identifying himself to outside audiences as associated with the University should clearly indicate that he is not an institutional spokesman unless specifically commissioned to serve in such a capacity.

V. Academic Tenure

1. [Part-time positions and other positions] A distinction is made between part-time and full-time members of the teaching staff. Unless their notices of appointment explicitly state that they are appointed for full-time teaching service, officers of instruction, of whatever rank, are considered part-time members of the teaching staff. The full-time members of the teaching staff are those teachers who give full-time service to the University and whose notices of appointment explicitly so indicate.

All part-time appointees to the University staff, irrespective of title, rank, or cumulative length of service, are entitled to no right of tenure, and their appointments are limited strictly to the periods stipulated in the official notices thereof. Likewise, all those receiving appointment in such temporary capacities as fellow, assistant, associate, lecturer, or as acting, adjunct, clinical, and visiting officers of instruction in the several ranks, whether rendering full- or part-time service, are ineligible for tenure on the basis of such service and are restricted in the duration of their connection with the University to the period stipulated in the official notices of appointment. The same stipulation applies to personnel appointed with professorial or other titles, whether on full- or part-time service, on subsidized assignments such as sponsored research, or in teaching programs where expense of the program is dependent upon a subsidy of limited duration. [Cf. Bylaw 73.]

2. [Tenure described] The general policy of the University with respect to probation and tenure for full-time instructors, assistant professors, associate professors, and professors is given below. After expiration of the stipulated probationary periods, full-time associate professors and professors are considered to have permanent or continuous tenure, and their services are to be terminated only for

adequate cause, except in the case of retirement at age 68, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. It is understood that the University has the right to reduce the length of the probationary period in specific cases.

3. [Instructor] Appointment to a full-time instructorship carries with it the possibility of reappointment but includes no right to permanent or continuous tenure, or to further reappointment, or to promotion to an assistant professorship. A full-time instructor shall not ordinarily serve for more than three years in that rank, and if not promoted at the expiration of six years as an instructor, shall be ineligible for further full time appointment in the University. [Cf. Bylaw 72(c).]

4. [Assistant Professor] The rank of Assistant Professor should be granted only to those who have proved their worth as teachers and have given evidence of character and productive scholarship. The assistant professor should possess the maturity and attainment in the field of scholarship or professional practice of which the doctor's degree is frequently the testimonial. Appointment to an assistant professorship carries with it the possibility but no presumption of reappointment and includes no right to permanent or continuous tenure or to further reappointment, or to promotion to any higher rank.

A full-time assistant professor who is not promoted at the expiration of six years as a full-time assistant professor, or after seven years of service in the ranks of instructor and assistant professor, shall be ineligible for further full-time appointment in the University. An exception is made only for faculty members appointed as full-time assistant professors before March 22, 1954. [Bylaw 72(b).]

5. [Associate Professor] The rank of Associate Professor should be granted only to those who, in addition to all the qualifications for an assistant professorship, have an unusual contribution to make to the University through the excellence of their character, teaching, productive scholarship, or other educational service. There is no presumption in appointing an associate professor that he will later be promoted. Reappointment as an associate professor does not imply any subsequent appointment at higher rank. Under any of the following conditions the appointment or reappointment of an associate professor carries with it the right of continuous or permanent tenure if it is for: (1) the sixth year as a full-time associate professor at New York University; or (2) the eighth year as a full-time teacher at New York University in the rank or ranks of instructor, assistant professor, or associate professor; or (3) the fifth year as a full-time teacher at New York University and follows a term of more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of instructor, assistant professor, associate professor, or professor.

If a full-time teacher at the time of his first appointment at New York University has formally disclosed to the appropriate dean or officer of

central administration the fact that he has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time associate professor at New York University, it is assumed that he has permanent or continuous tenure at New York University unless it is agreed in writing that his appointment is for a probationary period of not more than four years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

6. [Professor] The rank of Professor should be granted only after careful consideration of the individual's character, scholarship, productivity, teaching ability, and reputation among his peers in his own field, as well as his capacity for inclining students toward noteworthy attainments. It should be granted only to men and women who have been so tested that there is reasonable certainty of their continuing usefulness throughout the remainder of their working years. It should never be granted as the reward of seniority and should be reserved as a mark of distinction in the field of scholarship and instruction. It should never be granted as a recognition of usefulness in administration.

Under any of the following conditions the reappointment of a professor carries with it the right of continuous or permanent tenure: (1) if the reappointment is for the fourth year as a full-time professor at New York University; or (2) if the reappointment is for the sixth year as a full-time professor or associate professor at New York University; or (3) if the reappointment is for the eighth year as a full-time teacher at New York University in the rank or ranks of instructor, assistant professor, associate professor, or professor; or (4) if the reappointment is for the fifth year as a full-time teacher at New York University and follows a term of more than three years of full-time teaching in the rank or ranks of instructor, assistant professor, associate professor, or professor in one or more institutions of higher education other than New York University.

If a full-time teacher at the time of his first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time professor at New York University, it is assumed that he has permanent or continuous tenure at New York University unless it is agreed in writing that his appointment is for a probationary period of not more than three years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

7. [Administrative posts; promotions] Appointment to administrative posts may be terminated or modified by the University Board of Trustees without prejudice to the teaching rights of officers holding such positions. If a teacher gains permanent or continuous tenure at New

York University in one rank his tenure will not be invalidated by subsequent promotions in rank.

VI. Termination of a Tenure Appointment

1. [Termination for cause] When a member of the teaching staff has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, his services may be terminated by the Board of Trustees only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. Adequate cause includes (but is not limited to) one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard of the rules of academic freedom as set forth in this statement; physical or mental incapacity; conduct unbecoming a member of the teaching staff; or any other conduct of a character seriously prejudicial to his teaching or research or to the welfare of the University. [Cf. Bylaw 76, Removal.]

2. [Rules; notice; record] Proceedings for termination of service for cause shall be conducted in accordance with such rules as may from time to time be adopted by the Board of Trustees, and shall be initiated by service upon the person involved of a written notice setting forth clearly and directly all charges preferred against him and informing him of his rights under this section and under relevant University bylaws and rules regulating proceedings on such charges. The person charged shall be entitled to a hearing before the Faculty Tenure Committee of the University in accordance with the regulations pertaining thereto. A full stenographic record of the hearing or hearings shall be given to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers or other scholars, whether from this University or from other institutions.

3. [Conclusions to Board] The record, findings, and conclusions of the Faculty Tenure Committee shall be forwarded to the Board of Trustees for final determination on the question of termination of service.

4. [Rules bind all parties] The rules regulating proceedings to terminate service for cause shall be binding upon all parties.

5. [Summary suspension] Summary suspension pending termination proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President or the Chancellor of the University or the dean of the college, school, or division involved with the assent of the President or the Chancellor, whenever, in the judgment of either of them, continuance of the person in service threatens substantial harm to himself, to others, or to the welfare of the University.

6. [Review of suspension] In the event of summary suspension, the propriety and effect of such suspension shall be passed upon by the

Faculty Tenure Committee and the Board of Trustees when they consider the merits of the charges made. Such charges shall be preferred within a reasonable time, or the suspension lifted or otherwise resolved as the interests of substantial justice appear to the President or the Chancellor to require.

7. [Salary following dismissal] A person having permanent or continuous tenure who is dismissed for cause shall receive his salary for at least one year from the date of mailing to him, by registered mail, of a notice of such dismissal.

VII. Existing Commitments

This statement, while applicable generally to all members of the teaching staff of New York University at the time of its adoption, is not intended to modify existing commitments, as in the case of assistant professors previously appointed without reference to nontenure restrictions.

VIII. Notification of Resignation

The following provisions shall apply to notifications of resignation:

1. [Early notice] Notification of resignation ought, in general, to be early enough to obviate serious embarrassment to the University, the length of time necessarily varying with the circumstances of the particular case.

2. [Minimum notice] Subject to this general principle it would seem appropriate that a professor or an associate professor should ordinarily give not less than four months' notice and an assistant professor or instructor not less than three months' notice.

3. [Notification before transferring] It is assumed that a teacher may answer an informal inquiry about whether he would be willing to consider transfer to another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows he will not accept it without giving such notice as is indicated in the preceding provisions. He is at liberty to ask his superior officers to reduce, or waive, the notification requirements there specified, but he is expected to conform to their decision on these points.

IX. Whom Tenure Cannot Protect

Nothing in this statement is to be interpreted as giving the protection of tenure to anyone who advocates the overthrow of the government of the United States by force, violence, or any unlawful means.

Title II: Appointment and Notification of Appointment

(Adopted by the Board of Trustees on May 25, 1970)

X. General Appointment Procedures Affecting the Full-time Tenure-earning Ranks.

1. Recommendations of appointment or reappointment of full-time instructors, assistant professors, associate professors, and professors,

who have not achieved permanent or continuous tenure, shall be made by the chief executive officer of each department to the appropriate dean. The chief executive officer is the head of an all-University department or the chairman of a school or college department that is not part of an all-University department.

2. In the preparation of his recommendation the chief executive officer of each department shall have the counsel of an advisory body of tenured faculty members of the department. In case he is not the chief executive officer of the department, the chairman of a school or college department in which a recommendation for appointment is under consideration shall be a member of the advisory body of tenured faculty members.

3. Each academic department shall, in accordance with its own procedures, establish an advisory committee on appointments.

4. The department head or chairman shall transmit to the appropriate dean, along with his recommendation and reasoning, the recommendation and reasoning of the advisory body, together with their names, the method of their selection, and a report of the numerical vote.

5. In schools without a departmental organization, the dean, in the preparation of his recommendations of appointment, shall have the counsel of an advisory body of tenured faculty members of the school. The dean shall notify the faculty members of his school of the composition of the advisory body, and the method of their selection.

6. The dean shall approve or disapprove the recommendation, and shall notify the department head or chairman, if there is a departmental organization, and the advisory body, of the ultimate decision along with reasons therefor if the recommendation is disapproved.

7. Nothing in the appointment procedures described above shall be construed to preclude the possibility that other advisors or advisory bodies or student groups may be consulted to meet the needs of individual schools or specific situations.

XI. Notification of Nontenured Faculty Members

1. During his probationary period, each full-time instructor, assistant professor, associate professor, and professor shall be notified annually by the department head or chairman, or by the dean in schools without departmental organization, of his prospect of being recommended by the department on the evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing.

2. Notice of intention not to reappoint a full-time instructor, assistant professor, associate professor, or professor shall be sent to the individual affected according to the following schedule:

a) Not later than March 1 of the first year of academic service, if the appointment is to be terminated on August 31.

b) Not later than December 15 of the second year of academic service, if the appointment is to be terminated on August 31.

c) In all other cases, not later than August 31, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

XII. Tenure Appointments

1. In addition to the general appointment procedures, the process of recommending an appointment that would result in tenure shall be as follows:

a) The dean shall forward his recommendation by June 1 to the Chancellor, with a copy to the department head or chairman and to the advisory body or, in schools without departmental organization, to his advisory body. The dean's recommendation shall be accompanied by the recommendations he has received from the department head or chairman and the advisory body.

b) The Chancellor shall support or oppose the dean's recommendation in his recommendation to the President, and shall notify the dean of the final decision, along with reasons therefor, if the recommendation is disapproved. The dean in turn shall communicate the decision to the department head or chairman, if there is a departmental organization, and to the advisory body. The dean shall notify the affected faculty member of the decision.

2. In the case of an appointment that would, if made, complete the stipulated probationary period and result in tenure, negative recommendations as well as positive ones shall be transmitted by the department head or chairman to the dean, and by the dean to the Chancellor.

Retirement

Bylaws 75 and 55 read as follows:

75. Retirement. The tenure rights of officers of instruction shall cease August 31 of the academic year, September 1 to August 31, in which they attain the age of sixty-eight. Likewise, their active service shall then be terminated, and there shall be no presumption of reappointment thereafter. Subject to recommendation by the President and approval by the Board, however, an officer of instruction who has reached age sixty-eight and is available may be reappointed to serve thereafter from time to time in either a full-time or a part-time capacity. Each such reappointment shall be for a period not to exceed one year. He shall be automatically retired at the conclusion of any period of service for which he has been reappointed beyond age sixty-eight unless further reappointed.

55. Term of Administrative Appointments. Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary,

department head, and department chairman, shall be without limit of time, unless otherwise specified, but may be terminated at any time by the President, or the Executive Committee or the Board without prejudice to any rights of the officer as holder of a professorship. The active service of officers of administration shall be terminated on August 31 following their attainment of age sixty-five, unless action is taken by the Board to the contrary.

Some General Principles. During any extension of service the incumbent may continue the benefit plans and annuity coverage held at the time of normal retirement.

Those invited to serve after the usual retirement age should seek the advice of tax and pension authorities before accepting such an invitation.

Invitations to serve after retirement age shall be issued as far in advance of the normal dates of retirement as circumstances permit.

Officers of instruction and officers of administration reappointed to serve after retirement age shall be given such titles as the Board of Trustees, on recommendation of the President, shall approve. These titles may or may not differ from those held at the normal age of retirement.

The title of Professor Emeritus is given only to full professors who have served New York University with academic distinction for a long enough time prior to retirement to have become identified historically in the profession as New York University professors. It is given only upon formal retirement from active service, or at least from full-time active service, upon attainment of retirement age. It is not automatic; it must be recommended by a department and approved through the normal procedures applicable to other academic titles. Comparable principles apply to the use of the designation Emeritus for administrative personnel.

The rule of retirement after attainment of retirement age is applicable not only to officers of instruction and officers of administration and others subject to appointment by the Board of Trustees but to all other members of the University staff, with permissible exceptions in extraordinary circumstances comparable to those occasionally accorded Board appointees, at the discretion of the President of the University or his authorized representatives.

The rules of retirement are not intended to preclude cessation or modification of active service before retirement age, subject to such terms as the circumstances may warrant, recommended by the President and approved by the Board of Trustees.

Oath of Office

Section 3002 of the Education Law of the State of New York, as amended, requires in part that any United States citizen employed within the state as a teacher in a tax-supported or tax-exempt institution sign an oath or affirmation to support the Constitutions of the United States and of the State of New York— this oath or affirmation to be administered by a notary or an authorized school official; or, alternatively, that a statement (entitled

"amended oath") pledging himself to the same effect be signed by the person concerned and returned for filing with the records of the institution. This oath or affirmation or pledge must be executed by every newly appointed teacher before his first class session.

The requisite form for complying with the law is available from the Faculty Records Office of the University and in the offices of the deans of the schools and colleges. Foreign nationals, of course, are not subject to this requirement.

Teaching Assignments

Full-time members of the faculty, professional research staff, professional library staff, and administration are in principle available for duty during, and they are paid for, the entire academic year, September 1 to August 31 succeeding. In practice, the period of active service to be rendered within the academic year is determined by the administrative heads of the various units according to University policy, in terms of the objectives of the program concerned and the functions to be performed.

As regards full-time faculty members, long-standing University policy normally limits regular teaching assignments to the usual fall and spring terms (approximately mid-September to late May or early June), or equivalent. The summer months are expected to be spent partly in scholarly activity for professional growth and partly in rest and recreation. Assignments outside of the usual pattern as a part of the regular teaching load are normally made only as the result of a specific agreement with an individual faculty member.

Full-time teaching loads are determined administratively under guidelines approved by the Chancellor for a particular school or department. No additional compensation by reason of teaching overload may be paid to a full-time faculty member during the period of his regular teaching assignment, except in emergency circumstances duly approved in advance by the Chancellor. As an exception, teaching in the School of Continuing Education or in a regularly established off-campus program for additional compensation to the extent of one course per semester (in addition to a faculty member's regular assignment) will be permitted with the approval of the dean of the school in which the teacher renders his principal services but such arrangements are subject to review and renewed approval from year to year.

A full-time faculty member may accept teaching assignments at times outside his regular schedule (e.g., during the summer) at New York University or elsewhere, provided such additional undertakings do not unduly interfere with his efficiency and serviceability to his department and do not preclude his taking a reasonable vacation. Summer teaching assignments at New York University are normally made to full-time faculty members only with the consent of the teacher concerned. Furthermore, it is the policy of the University that every faculty member should have a minimum of one month per year during which service is not given to the University; consequently no faculty member may be appointed to, or paid for, official duties requiring active service for a period of more than eleven months in any year.

Academic Responsibilities of the Faculty Member

Every officer of instruction is expected to handle his teaching assignments with professional skill. He should familiarize himself with the overall organization of the University, and especially with the operations of the school or college of which he is a part, and with its requirements and regulations, with which he will scrupulously comply. He should strive to be a good citizen of the academic community, cooperative and efficient in meeting deadlines, submitting grades, and returning students' work with appropriate comments. He should be an active participant, as committee member, student adviser, or in whatever other capacity he can render the best service, in the affairs of his department and school. Ideally he should also maintain an interest in the current activities and problems of the larger community, and, especially in an urban setting, in how the community and the University can benefit each other.

He should aim at the steady enlargement of knowledge in his special field—of his own knowledge, by continuing study; of that of others, by taking his opportunities to make scholarly contributions. He will keep abreast of new developments in his subject as they are published, and should regularly attend, and actively participate in, the meetings of appropriate learned societies. (Financial assistance in attending professional meetings may be available, according to the rules of the several schools and colleges, especially to those who are association officers or who present papers.)

Meeting Classes; Leaves of Absence. The regulations of the University require all officers of instruction to be present for teaching duty and ancillary activities (e.g., committee work and student advisement) during the academic sessions to which they have been assigned. In addition, unless special arrangements have been made through the department or school, each officer of instruction is duty-bound to meet all his assigned classes at the place and hour scheduled. The length of the various academic sessions, and the number of class meetings per session, are set conformably to the requirements of the State Education Department for the different programs offered by the University, and may not be varied arbitrarily by individual teachers.

In case of illness necessitating absence from class, the teacher should communicate with his department head, or, if the latter is not available, with the dean. The department head or dean will determine what arrangements, if any, shall be made to provide a substitute instructor or to make up the work of the class at a later date.

Applications for leave of absence of not more than seven days should be made to the proper dean. Leave of absence for more than seven days requires the approval of the Chancellor.

For information and policies governing sick leave, see the brochure on benefits, available from the Faculty Benefits Office. Supplementing the explanation contained therein, for the information of those who may wish to claim income tax exemption on salary paid while on sick leave, the following general statement of policy is applicable: "It is the policy of the President, acting under authority of the Board of Trustees, to grant leave of absence on salary in cases of illness for such period of time as he, the

President, may determine, not exceeding current budget provisions for the salary in question. Any such leave of absence beyond the period of the current budget provision is subject to the approval of the Board of Trustees."

Salary Payments; Deductions

Payment for Teaching from September to June. The salary of a full-time officer of instruction who teaches in the regular fall and spring terms of his school is paid by monthly check from the Controller's Division, in equal installments over the entire calendar year, beginning on the first day of the month following the effective date of appointment, with the exception that a "full-time" teaching associate, teaching assistant, teaching fellow, or graduate assistant on duty from September to June receives his salary in ten equal monthly payments, starting the first of October and ending the first of July. Salary payments to a part-time member of the instructional staff on duty from September to June are payable four times each term, on the first of November, December, January, and February for the fall term, and on the first of March, April, May, and June for the spring term.

Payment for Summer Session Teaching. Payment for teaching in the intersession, whether paid as additional compensation to regular full-time officers of instruction or to visiting or part-time personnel, is usually made on July 1; similarly, compensation for the first six weeks of the summer session is usually paid on August 1; for the second six weeks, on September 1; and for the postsession, on October 1.

Deductions from Salary. Deductions from the salary check are made by the Controller's Division for federal, New York State, and New York City income taxes, and Federal Insurance Contributions Act (F. I. C. A.) tax as specified by law; also for annuity, group insurance, disability income protection plan, and hospitalization and surgical-medical insurance premiums in accordance with individual requirements. Part-time members of the instructional staff, and such essentially temporary appointees as teaching fellows, graduate assistants, and the like, are ordinarily ineligible for annuity, group insurance, or hospitalization benefits. Cases to the contrary are subject to review and decision by the administration.

The University cooperates with the United States Treasury in arranging for the regular purchase of savings bonds under the Payroll Deduction Plan.

Restriction on Outside Employment

As a matter of University policy, full-time members of the faculty are required to teach only at New York University during the period of their regular teaching assignments (normally, September to June). Teaching service at other institutions during such period may not be rendered except in the most unusual circumstances, and must be duly approved by the appropriate dean and by the Chancellor.

Assignments to full-time members of the faculty, professional research and library staffs, and administration are made on the assumption of full-time service to the University. Full-time faculty members are expected

to devote their major energies to teaching, to research, to student counseling, and to related activities at New York University. This implies a limit on outside activities, particularly those which involve the rendering of service for extra compensation.

Since individual energies and capacities vary greatly, it is difficult to prescribe any exact measure for such limitation. In general, however, full-time members of the faculty will be expected to limit their outside activities for which compensation is received to not more than one day per week during the periods of their regular teaching assignments.

As a matter of courtesy, faculty members are expected to inform their department chairmen and deans of the general nature and extent of any such continuing commitments.

It is the responsibility of departmental chairmen or heads, and of the deans of the various schools, to protect the interest of the University in the full-time service of its full-time faculty, professional research and library staffs, and administration.

Limitation on Degree Candidacy

Special attention is called to Bylaw 63(c), which reads as follows:

> No officer of instruction holding professorial rank in the University, that is, rank above the grade of instructor, shall be permitted to enroll as a candidate for a degree or be recommended for a degree in course. A degree candidate who accepts appointment to a professorial rank must thereupon relinquish such candidacy.

While the rule does not prohibit a teacher of professorial rank, whether on temporary or permanent appointment, from taking courses at this institution for credit to be applied elsewhere toward a degree, it does prevent such an appointee from pursuing a course to be credited toward a degree at New York University. In applying the rule, the prohibition has been construed as extending to those whose professorial titles are in the category of nontenure positions (i.e., visiting, research, adjunct, and clinical professorial ranks), while lecturers, associates, and assistants are treated in the same general category as instructors, and administrative personnel below policy-making rank are regarded as exempt from the exclusion.

Benefits

The various benefits available to faculty members are described in a separate publication, a brochure (Benefits for Faculty, Professional Research Staff, and Officers of Administration) issued by the Faculty Benefits Office and regularly brought up to date. Such benefits include, but are not limited to: the TIAA-CREF retirement plan, the group life insurance plan, Blue Cross and Blue Shield and major medical insurance, and tuition remission privileges for faculty members and their dependents.

All requests for information and questions concerning these and related matters should be addressed to the Faculty Benefits Office (at the Medical Center, to the Personnel Office).

Faculty Benefits Office. The Faculty Benefits Office of the Personnel Services Division (located at the Washington Square Center, 22 Waverly Place) provides information about the benefit plans and services available to faculty members, members of the professional research and library staffs, and administrative staff officers who hold Board appointments. Inquiries regarding any of the benefits described in the brochures issued by the office should be directed there, where representatives of the office will gladly discuss your participation in any of the plans.

The Faculty Benefits Office will also be happy to assist with information relating to local banking facilities, housing, retirement, financing education, discounts available to members of the University staff, and various other matters. To obtain information, telephone 598-3181 or 3182. If you wish to visit the office, telephoning for an appointment is recommended, to minimize waiting.

Sabbatical Leave

Purpose. A sabbatical leave, as distinguished from a terminal leave, a leave without compensation, or a leave for reasons of health, is defined as a leave for the purpose of encouraging faculty members (including administrative officers who hold faculty rank) to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the University. A sabbatical leave will not be granted for the purpose of taking regular academic or other employment of pecuniary advantage elsewhere. (A partial exception to this policy, applicable to certain kinds of research grants, is explained below.)

Eligibility. Eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights and who have completed six years of full-time service as members of the faculty at New York University. In general, at least six years must elapse between consecutive sabbaticals.

It is stipulated that at the conclusion of a sabbatical leave the faculty member will forward to the department chairman and the dean copies of a report on activities undertaken during the period of the leave.

Term and Compensation of the Sabbatical. In general, a sabbatical leave is granted to the eligible faculty member, starting September 1, for the usual teaching terms (i.e., September to June inclusive) of one academic year, at three quarters of annual base salary. However, as an alternative, a faculty member who has qualified for a full year of sabbatical leave at three-quarters salary may apply for such sabbatical to be divided into two terms falling within a seven-year period, each such term representing a seventh semester at three quarters of the base salary applicable thereto. As another alternative, a faculty member who is qualified for a full year's sabbatical leave at three-quarters salary may elect, in lieu thereof, to apply for only one semester of sabbatical leave during the sabbatical year, at the full base salary for that semester.

The cost of replacing a faculty member during sabbatical leave will be kept as low as possible by arrangements such as rotating ("bracketing") courses,

employing part-time faculty members, and making internal adjustments in the departments concerned.

Procedure for Granting a Sabbatical Leave. Application for a sabbatical leave should be made in writing by the faculty member and submitted to the department chairman no later than December 1 preceding the academic year for which the leave is sought. Because of the impact of a leave on departmental planning, early application is recommended.

The department chairman must forward the application with an accompanying recommendation to the appropriate dean on or before the following December 15. The department chairman's recommendation shall include a statement of the proposed method of handling the normal duties of the faculty member while on leave.

The dean must forward each application, and the accompanying recommendation of the department chairman, together with the dean's own recommendation, to the Chancellor on or before January 15. The Chancellor, after such additional consultation with the dean as may be desirable, will announce the determination.

Sabbatical Leave and Research Grants. All sabbatical leave arrangements approved by the University carry the restriction that the faculty member is not permitted to engage in any form of regular academic or other employment to augment income during the sabbatical. As a partial exception, a member of the faculty eligible for sabbatical leave who wishes to take an opportunity of augmenting the income provided by the University so as to receive the equivalent of his or her full salary during the period of leave, may be granted special permission to do so, when the following conditions are met: either (1a) a research or educational institution will pay one half of the faculty member's base salary and the New York University contribution accordingly will be reduced to one half of the base salary instead of three quarters; or (1b) an externally sponsored research grant will furnish one half of the base salary for the academic year, with the University paying one half; and (2) in either case, the sponsor agrees explicitly and in writing that the funds may be used to pay for one half of the base salary of the faculty member while on sabbatical leave. The faculty member must take the initiative in securing such written permission, and must make known to the department chairman and dean at the time of the request for sabbatical leave that such funding is being, or will be, sought from the research sponsor.

Awards

The University presents an engrossed scroll to every member of the faculty or staff who has given twenty-five years of service to the University. The Alumni Federation presents a medal to every faculty member who completes thirty-five years of service to the University.

All members of the faculty who have taught at least one course in the current academic year are eligible for nomination to the selection committee for consideration for the Great Teacher Awards. Three such awards, sponsored by the Alumni Federation, are customarily made each year; each carries an honorarium of $1,000.

Calendar

Both the academic and fiscal years for New York University extend from September 1 through August 31. In most divisions (except certain professional schools, where slightly different schedules obtain) the regular teaching year consists of two terms, beginning normally about the third week of September and the first week of February, respectively. The summer sessions conducted by the various divisions consist for the most part of two consecutive six-week terms, beginning the last week in June and extending to early September. The School of Education summer session is divided into an intersession of three, a regular session of six, and a postsession of three weeks. Although the schedule of exercises for each school or college of the University follows in general this coordinated pattern, there are some minor local variations which can be noted in the calendars published in the several school bulletins. The annual Commencement exercises are ordinarily held early in June.

THE UNIVERSITY LIBRARIES

Libraries

The library system of the University is officially known as the New York University Libraries. Administered by the Dean of the Libraries and containing nearly 2,270,000 volumes, the system consists of eight distinct libraries, each organized under its own librarian and distributed geographically in such a way as to serve the several centers at which the University offers instruction.

The General University Library at Washington Square (so titled since 1955) will be relocated, in the 1972-1973 academic year, in the new building on Washington Square South and will then be known as the Elmer Holmes Bobst Library and Study Center. It brings together under one roof many of the collections that have heretofore been dispersed in various locations at and around the Washington Square campus. The Bobst Library will be one of the largest open-stack research libraries in the state, available at the discretion of the librarian to all qualified students and visiting scholars. Its capacity is 2,000,000 volumes, of which 1,200,000 will be moved in at the start. Its union catalog lists the holdings of all New York University libraries, with indication as to the location where each book can be found. Noteworthy special collections in Education, Science, Music, Near Eastern and Ibero-American languages and literatures, Judaica and Hebraica, and Russian intercultural readings, as well as the Tamiment Institute Library (centering on the history of the labor movement in the United States), the Fales Library of English and American Literature, the Robert Frost Collection, and numerous rare books and manuscripts are contained in the Bobst Library.

The Law Library, housed in the east wing of Arthur T. Vanderbilt Hall, and containing over 370,000 volumes, features all Anglo-American reports and statutes, and comprehensive collections of legal periodicals and treatises. The Dean Frank H. Sommer Library (more than 12,000 volumes particularly strong in legal history, biography, and jurisprudence), and the Ralph Bosch Library of Inter-American Law, which has become the nucleus for a rapidly expanding collection of foreign law, are also included. Extensive collections on copyright law, taxation, labor law, corporation and commercial law, administrative and public law, criminal law and criminology, the administration of justice, international law (including primary source materials of the United Nations and European Economic Community), comparative law, and the many emerging and developing legal specialties (e.g., urban affairs, poverty law, consumerism), add significantly to the Law Library's research capabilities. Primary use is for students registered in the School of Law and students concerned with legal research who are matriculated at other New York University schools.

The Medical Library is located on three floors of the Medical Science Building at 550 First Avenue. The collection contains more than 95,000 volumes and approximately 1,500 current periodicals. The Institute of Environmental Medicine at Sterling Forest also maintains a medical research library, as does the Goldwater Memorial Hospital.

The library of the Brookdale Dental Center is located at the College of Dentistry at 421 First Avenue; it contains over 21,000 volumes. Several

special collections in dental history, including the Weinberger Collection, the Blum Collection, and the Mestel St. Apollonia Collection, form one of the largest repositories of rare books on dentistry in the country (some 1,350 volumes, including 300 published before the nineteenth century).

The Graduate Library of Business Administration, located on the seventh and eighth floors of Nichols Hall at 100 Trinity Place, contains over 77,000 volumes, all the important business services, over 42,000 stock exchange financial reports on microfiche, and 130 drawers of vertical file materials relating to the curriculum.

The Courant Institute of Mathematical Sciences Library is located in Warren Weaver Hall, 251 Mercer Street. A highly specialized research collection of over 32,000 volumes, it serves principally the faculty and registered students of the Institute.

The Institute of Fine Arts Library at 1 East 78th Street contains a collection of over 45,000 volumes for the study of the history of art of all periods, classical archeology, and conservation of paintings and sculpture. Restricted in space and highly specialized in nature, it serves primarily the registered students and faculty of the Institute. Its books constitute a reference collection and do not circulate.

The Gould Memorial Library and the Begrisch Library of Engineering and Science serve undergraduate and graduate students and the research programs at the University Heights campus in the arts and sciences and in engineering. Together they include over 425,000 volumes and many special collections.

Librarians

Titles and Tenure. Since 1947, by action of the Board of Trustees, the professional librarians of New York University have held titles of rank that are equated with certain of the teaching ranks for purposes of "insurance and pension perquisites and obligations" as well as rights of tenure, as follows:

Curator (equivalent to the rank of Professor)
Associate Curator (equivalent to the rank of Associate Professor)
Assistant Curator (equivalent to the rank of Assistant Professor)
Library Associate (equivalent to the rank of Instructor)

Those in the ranks of Associate Curator and Curator may attain tenure rights according to the rules and regulations prescribed by the Board of Trustees.

Retirement. The retirement age for Librarians is 65, which is the standard retirement age throughout the University for all but officers of instruction whose regular duties are primarily classroom teaching.

Perquisites. Because of the essential functions of librarians and the value of their cumulative knowledge while in service, the provisions of Bylaw 72 setting time limits for promotion or separation of the academic ranks of instructor and assistant professor are not enforced strictly for the equivalent ranks of professional librarians. Likewise, since librarians are not officers of instruction and do not vote on matters affecting degree-fulfillment

policy in the various school faculties, they are exempt from the provisions of Bylaw 63 that require a degree candidate who accepts appointment to professorial rank to relinquish such candidacy. Therefore the holder of any professional librarian's rank may pursue graduate work and be a degree candidate at the University.

In April 1972, the University Senate requested the Board of Trustees to revise the Bylaws to add an elected representative of the professional library staff and the Dean of the Libraries as voting members of the Senate.

ACADEMIC AUXILIARIES

The Film Library

The Film Library, located at 26 Washington Place, maintains a collection of over 2,000 educational motion pictures covering 80 subject categories, with emphasis on material suitable for adult education. These 16mm films are distributed to institutions and organizations in this country and abroad. Faculty members may requisition films for classroom use at any of the University campuses. The staff of the Film Library will provide assistance in planning programs, guidance in selecting appropriate titles, and suggestions on outside sources. Projection room facilities for previewing and evaluating films are available. A completely annotated catalog of the circulating collection will be supplied upon request.

Projection, Recording, and Public Address Equipment

At all centers, many academic departments maintain some equipment of this sort for class use by their instructional staff. In addition, at the Washington Square Center, requests for this type of equipment may be routed through the building manager's office in the block or building in which the equipment is to be used. These offices have available limited numbers of 16mm sound projectors, slide projectors, film strip projectors, phonographs, and tape recorders, and can furnish the services of a trained operator-technician as needed. Similarly, where permanent public address facilities are not available, the building managers can provide a limited amount of portable equipment if notified in advance.

All requests for equipment should be made in writing, in triplicate, by memo or on forms provided for the purpose. At the present time the only charges entailed for the use of equipment are for services after 5:00 p.m., for the assistance of a technician-operator, when required, and for any materials consumed, such as tape used to make recordings.

New York University Press

Established in 1916, this operating division of the University publishes scholarly books in the fields of literature, public affairs, the humanities, and fine arts. The Press publishes and distributes material originating outside the University as well as from within its schools and colleges. Over the years, the list of the Press has come to include an international roster of scholars, and it is the policy of the Press to seek out manuscripts without regard to the affiliation of the author. Members of the University are encouraged to submit material, and the Press will endeavor to give prime consideration to the work of faculty members. Manuscripts should be sent to the Editor, New York University Press, Washington Square, New York, N.Y. 10003.

The Press is headed by a director, and its personnel includes individuals competent in editing, production, promotion, and distribution. In addition to publishing works that bear the imprint of the University, the Press maintains a subsidiary activity, Associated College Presses, by which it services the publishing needs of other universities and institutions having no publishing facilities of their own.

The policies of the Press are set by a Policy Committee that includes representation from the faculty, administration, and the publishing industry. Through its publications the Press attempts to extend the University's services to a larger, more varied, and more widely distributed audience, while upholding the standards of scholarship for the advancement of knowledge and the betterment of human understanding.

The Reading Institute

Under the administration of the School of Continuing Education and Extension Services, the Reading Institute offers a variety of reading improvement services to different groups of people. It has both full-day programs and Saturday and afternoon classes for students at the elementary, secondary, and collegiate levels who have severe reading problems. Seven-week evening courses are offered throughout the year for adults who wish to increase their speed and comprehension. Both individual and small-group instruction in reading improvement is given at the Institute, and special courses are organized for groups of employees at banks, industrial plants, and business offices.

SERVICES AND FACILITIES

COMMUNICATIONS

Postal Service

The University maintains regular mail delivery and pickup service, the schedules varying somewhat in the different centers. For intra-University mail ("house mail"), which may be sent without postage, special interoffice envelopes are available. Anything that can be sent by house mail must not be sent through the U.S. mails and should be kept separate from such outgoing material.

Postage privileges are restricted to official correspondence. Faculty members using, on occasion, envelopes with the University imprint for correspondence not directly related to official University business are personally responsible for the postage charges. Outgoing personal mail should be deposited in the regular corner mailboxes and not placed in office outboxes for pickup by the University mail carrier.

Deliveries are made daily between Washington Square and the Brookdale Dental, Graduate Business, Medical, and University Heights centers, and twice weekly to the Institute of Fine Arts.

Telephone Service

All members of the University community are expected to confine their use of University telephones to matters of University business. All personal calls--local, surburban, and long distance--are charged to the individual caller. Since the regulations and schedules governing the telephone service vary somewhat at the several University centers, faculty members are advised to familiarize themselves with such local provisions.

Cable Address

The cable address of the University is NYUNIVER, New York.

PROTECTION, EMERGENCIES, MAINTENANCE

Protection

The Protection Division is responsible for the protection of persons and property in the University community. The office of the Director of Protection is located at 19 West Fourth Street, Washington Square, Ext. 2302. He is in charge of the University force of guards at Washington Square and University Heights. At other centers he provides investigative and consultative services in protection matters.

Inasmuch as the theft of personal and University property is a serious problem and a matter that concerns everyone in the University family, it is important to minimize the opportunities for thieves. The most effective prevention can be found in simple daily rules of conduct.

1. Always lock your office if left unattended.
2. Place small articles in locked desks and cabinets overnight.

3. Lock all cabinets, desks, doors, and windows at the end of each day.
4. Keep pocketbooks, wallets, etc., in a safe place, not on or under your desk.
5. Never leave money or valuables in clothing hung in closets or on clothes racks.
6. Bolt typewriters, office machines, etc., to desks or tables wherever practicable. (Contact your building manager for this service.)
7. Work out procedures with your co-workers that will ensure reasonable protection for personal and University property.
8. Report defective locks, door closers, window catches, etc., to your building manager for prompt repair.
9. Be alert for loiterers and persons acting suspiciously. Ask them their business; if the assistance of a guard is needed, immediately call the Protection Office for your center (see numbers below).
10. Report a loss or theft immediately to the Protection Office.

Protection Office telephone numbers:
Washington Square, Ext. 2301
University Heights, Ext. 555
School of the Arts, Ext. 3872
Barney Building, Ext. 3355
Graduate School of Business Administration, Ext. 279
Brookdale Dental Center, Ext. 7011
Institute of Fine Arts, 988-5550
Medical Center, Ext. 2430

Emergencies, Maintenance

In case of an emergency (fire, accident, etc.), dial "0" (Operator) and report the condition and the location.

To report situations of lesser importance (a dead light bulb, broken desk, etc.), call the office of the building manager for the building or area. His number will be found in the yellow colored section of the University Telephone Directory under "Building Managers/Building Services."

Lost and Found

All articles found unattended in University academic buildings or on University academic property should be turned over to the Lost and Found office maintained at each center. The Lost and Found office at the Washington Square Center is located in Room 14 at 80 Washington Square East. At University Heights, at the Brookdale Dental Center, and at the Graduate Business Center, the Lost and Found offices are operated from the Offices of the Building Managers. At the Medical Center, Room M-140 serves temporarily as the lost and found office.

DINING, CAMPUS STORES

Food Services

Loeb Student Center at Washington Square has several different dining facilities for faculty and students. There are a cafeteria, a snack bar, and private

dining rooms, all of which are air-conditioned. Service from an informal tea to a formal banquet can be arranged for groups of 50 to 400.

There are also cafeterias in Hayden Hall, Weinstein Halls, and Rubin Hall at Washington Square; in Silver Hall and the Gould Student Center at University Heights; at the College of Dentistry, the School of Medicine, University Hospital, and the Institute of Rehabilitation Medicine.

Luncheon service is provided in the Faculty Clubs at Washington Square and University Heights.

The Book Centers (Campus Stores)

For the convenience of students, faculty members, and staff, the University owns and operates Book Centers at Washington Square, University Heights, the Graduate Business Center, the Medical Center, the Brookdale Dental Center, and the School of Law (in Hayden Hall). In addition to required textbooks and school supplies, a wide variety of reference and paperbound books, plus collegiate gifts, school and class rings, and other items are sold. The textbook department offers both new and used books.

The Book Centers endeavor to make available, at the lowest possible prices, all books and materials that members of the University family require or find convenient to purchase on campus. A check-cashing service is also operated.

MISCELLANEOUS INFORMATION

SOCIAL CLUBS

Faculty Clubs

There are two faculty clubs in the University. They operate independently of each other, although reciprocal privileges are accorded each other's members. They have no connection with the New York University Club, described below.

The Faculty Club at Washington Square, organized in 1939, is housed at 22 Washington Square North; that at University Heights is located in Stevenson House on the campus. Regular membership in either club is open to all members of the University instructional staff of the rank of instructor or higher, and to members of the administration holding equivalent positions; other classes of membership, including associate, are also provided. The initiation fee and dues vary according to the member's rank and the class of his membership, applications for which may be made to the appropriate club secretary.

At Washington Square, members of the summer session staff who do not teach at the University during the regular semesters may secure guest cards for the period of their service. This club is open summers, except for the month of August; the University Heights Club operates only during the regular fall and spring terms. Faculty groups and outside organizations (when represented by a member of the club) may arrange to use the club facilities for special occasions at rates varying with the type of service desired. At both clubs luncheon is served daily, Mondays through Fridays; at Washington Square, occasional special dinners are served on designated evenings. The swimming pool in Hayden Hall at the Washington Square Center is available to club members at certain times of the day. Those interested should inquire of the manager of Hayden Hall.

Faculty Women's Club

Wives of faculty members and women members of the faculty from the various centers of the University are eligible for membership at nominal dues in the Faculty Women's Club, which meets monthly during the academic year, usually at the Washington Square Center. It sponsors an active Workshop Program for members, offers a gala dinner biennially, and other special events on an irregular schedule. For information, address the Club Secretary, at Box 48, Loeb Student Center, Washington Square.

Membership in any of the clubs mentioned above is voluntary, as is membership in the New York University Club described below; initiation fees and dues are regarded as personal expenses and are not reimbursable by the University.

New York University Club

The New York University Club, located in the Town Hall building at 123 West 43d Street, was founded in 1956. All alumni, faculty members, and administrators of equivalent rank are eligible for membership. The Club has dining, banquet, and meeting facilities for members and their guests,

and a health club that features a sauna, exercise room, masseur and masseuse, showers, and sun lamps. The Club sponsors groups to attend performances at the Metropolitan Opera, Philharmonic Hall, the New York State Theater, City Center, and hit Broadway shows, as well as special showings at art museums. Club events include dinner dances, wine tasting dinners, and special events organized to meet men and women prominent in contemporary life.

PUBLIC RELATIONS

New York University is really a community— a large community of over 50,000 students and members of faculties, administration, and staff. The responsibility of informing the various interested publics of news and developments within that community is the primary mission of the Office of Public Relations and the bureaus reporting to that office. How regularly and expertly our publics are informed bears strongly on the future of the entire University.

The importance of those various publics is obvious as soon as they are named. There are the legislators— national, state, and municipal— whose deliberations and laws affect the fiscal health, outreach, and funding of research projects here. Corporations, foundations, alumni, and private contributors are all publics who are important to us. Secondary education across the United States is still another public, for it is the members of this group who counsel students in college or university selection as well as select the best institution for their own work in advanced degrees and research. Prospective students and the parents of those students are two additional publics that expect to receive news and information about N.Y.U. And finally, there is the New York University community itself, which likes to know and deserves to know what goes on here in administrative decisions, in academic innovation and reform, in changes and additions to physical plant, in noteworthy achievements by faculty colleagues and fellow students.

News releases, contact with editors and editorial specialists in all print and broadcast media, bulletins and catalogs, advertising, still photography and motion picture film, direct mail, distribution of reprints of notable speeches and policy statements by administration and faculty— these are some of the communications tools and procedures under the general or specific supervision of the Office of Public Relations.

But the public relations of New York University are, literally, also the business of everyone who works for N.Y.U., from its President to its newest employee. For while the Office of Public Relations is charged with the formal mission of helping to develop a high regard for this University through dissemination of official information through recognized media and established channels of information, the most telling impression someone gains may depend on how courteously a telephone is answered; what a staff member tells his friends about his work; how effectively a member of our community works in his own home community; how students respond to the quality of teaching and the counseling they receive throughout their undergraduate and graduate years here.

One measure of the stature of an educational institution is the frequency of its appearance in the news, and second is the frequency with which it is

consulted by news media for background assistance on key educational trends. On both counts, New York University must be considered as a principal educational resource because of the national press attention it secures and the willingness of editorial people to seek information here.

News Bureau

The News Bureau, which operates under the Director of the Office of Public Relations, gathers, writes, and disseminates University news. It is in daily contact with newspapers, wire services, magazines, professional journals, radio and television newscasters, and documentary producers. It also maintains biographical and other background files on faculty and staff, answers inquiries from the press, and provides input to Internal and Community Calendar.

Although the press may— and often does— approach University officials and faculty members directly, the News Bureau handles the bulk of questions from the press. It also arranges interviews with reporters and appointments with press photographers. It is the central agency for distribution of news releases.

The cooperation of faculty and staff members in furnishing information on possible news stories is needed and invited. Such information includes reports on forthcoming talks or articles, research progress, educational developments, special events, public services, and professional honors.

Publications Bureau

The Director of Public Relations is responsible for the Publications Bureau, which coordinates the publications program of the University, approves the substance and form of all publications, maintains inventory, supervises mailing and distribution, approves requisitions, advises in the preparation of budgets, and is responsible for the coordination and administration of University advertising.

The Publications Bureau also designs, edits, and arranges for the printing and distribution of University promotional material, and publishes all official publications of the University.

Any department or officer wishing to use these services should place an order with the Publications Bureau on the appropriate requisition blank, signed by the officer responsible for the expenditure. The publications staff of graphics, editorial, and production specialists is available for consultation with all faculty and staff members.

Print Shop

The Print Shop is a part of the Publications Bureau, and it serves all University departments. The services that the Print Shop performs include typing and typesetting, photo-offset printing, stencil cutting, mimeographing, Xerox, Bruning copying, addressing and mailing, and allied processes. Any department or officer wishing to use any of these services should place an order with the Print Shop on the appropriate requisition form. The staff is available also for consultation.

The Print Shop is located in the basement of Kimball Hall, 246 Greene Street, at the Washington Square Center.

Photographic Bureau

The Photographic Bureau offers a complete photographic service and coordinates all official photography within the University. It regularly takes still pictures in black and white and in color, prepares slides and filmstrips, and makes sound motion pictures. Typical assignments include taking a series of pictures for a brochure, portrait work, reproduction of graphs and charts, and photographic coverage of the University Commencement and other special events.

The office also maintains a background file of pictures covering the entire University and will offer advice on the procurement of special photographic materials for schools and departments.

A list of the current prices for the Bureau's services is available on request. An order for service should be placed on the appropriate requisition blank, available from the Bureau, and signed by the officer responsible for the expenditure.

Information Bureau

The Information Bureau is located at the northeast corner of Washington Square East and Washington Place in 102 Main Building, and is connected with all the branches and divisions of the University. The Information Bureau keeps a supply of the bulletins of the different schools and colleges of the University, as well as other New York University publications. Visitors and new students are often directed there. Most telephone calls for general information received at the main switchboard are also transferred to this office, which tries to answer any and all questions about the University or at least refer the caller to someone who can. The Bureau maintains an up-to-date list of all office addresses throughout the University and is open five days a week from 9:00 a.m. to 5:00 p.m.

GENERAL INFORMATION

Official Directory

An Official Directory is periodically issued. It contains the names, titles, business and home addresses, and telephone numbers of members of the teaching and administrative staff. It also includes much other useful information, such as the names of the principal officers of schools, departments, administrative units, and service offices, as well as the membership of certain all-University bodies.

The Directory is prepared by the Faculty Records Office; any corrections or changes should be called to the attention of that office, in writing.

The Directory is distributed to all offices of the University. Its use for commercial solicitation is forbidden. Members of the University staff may purchase copies for their personal use through the Publications Bureau.

Bulletins

Each school, college, and division of the University, under the direction of its dean, issues through the Publications Bureau its own bulletin or bulletins describing its entrance and degree requirements, programs of study, and the like. It is incumbent upon the individual faculty member whose particular courses are described therein to inform his departmental executive officer of all essential changes that may make revision of the course description in the bulletin advisable.

New York University Alumni Federation

The Alumni Federation, a grouping of alumni associations of the colleges and schools of the University, maintains headquarters at 22 Washington Square North. The official organ of the federation is The New York University Alumni News.

Division of Athletics

New York University is a member of, and adheres to the rules and regulations of, the National Collegiate Athletic Association, the Eastern Collegiate Athletic Association, and the ICAAAA, as well as a number of local and regional associations in particular sports. The University maintains a program of intercollegiate competition in a number of sports, including baseball, swimming, fencing, wrestling, tennis, golf, and soccer. There is a varsity competition for women in basketball, swimming, fencing, and tennis. In addition, the University puts emphasis on offering a program in intramural athletics and recreational activities.

The Albert Gallatin Associates

Individuals, corporations, foundations, and groups contributing $1,000 or more to the University within the fiscal year become members of The Albert Gallatin Associates for that year. The membership also includes donors who made earlier substantial gifts qualifying them for continued membership. Through such generous financial aid, New York University is able to continue its tradition of private support, a tradition that has produced invaluable service and exercized an influence felt throughout the community, the nation, and the world.

The concept of service inherent in the program of the Gallatin Associates is symbolized through the granting of the New York University Gallatin Medal each year to a graduate, honorary alumnus, or member of the University family who has made a contribution of lasting significance to society. Further information about this program is available from Donor Relations, Office for Development, 3 Washington Square Village, 598-2704.

The Hall of Fame for Great Americans

The Hall of Fame for Great Americans, one of the notable patriotic shrines of the nation, which has been under the general trusteeship of New York University since its founding in 1899, is situated on the campus at University Heights overlooking the Palisades and the Hudson and Harlem river valleys. In elections conducted (since 1970, every third year) by the

authority of the University Senate, a college of electors representing every state in the Union selects from those nominated the names of distinguished American men and women, deceased a minimum of twenty-five years, for commemoration in the Hall of Fame by an appropriately inscribed bronze tablet and a portrait bust executed by a famous American sculptor. The Director of the Hall of Fame is appointed by the University Board of Trustees on the recommendation of the President and serves as an advisory member of the Senate. Further information may be had from the Director.

Legal Matters

(Letters from Lawyers, Subpoenas, Summonses, etc.)

The handling of all legal matters arising from, or pertaining to, the operations of the University is the responsibility of the General Counsel of the University whose office is located in 406 Vanderbilt Hall, 40 Washington Square South; telephone 598-2691.

Administrators and faculty members should not reply to letters received from attorneys concerning University business. Answers to such communications will be prepared by the office of the General Counsel, after consultation with the faculty member or administrator concerned. Similarly, under no circumstances should anyone not an officer of the University accept service of legal papers, such as subpoenas, citations, court summonses, or violation notices. Anyone who wishes to serve such papers on the University should be referred to the office of the General Counsel, which will accept them officially on behalf of the University.

The office of the General Counsel is responsible only for official University business and is not staffed to provide personal legal assistance. In exceptional cases, however, the office will upon request suggest the name and address of a legal organization or other counsel to University personnel in need of such assistance.

Placement Services

Placement Services seeks part-time and full-time employment for students and alumni through its main office at Washington Square and branch offices at University Heights and the Graduate School of Business Administration. The School of Law maintains a separately administered Placement Office.

Public Occasions

The Bureau of Public Occasions plans, implements, and administers various public ceremonies of an all-University character, and manages or shares in the management of certain nonrecurring events of a public character having all-University implications.

The Bureau also serves as an advisory and consultative office for members of the administration and faculty who, in the interest of standard protocol and uniform quality of performance, desire assistance in planning events within their own departments.

Among the all-University occasions are convocations, dedications, lectures, dinners, receptions, and groundbreakings, as well as the annual Commencement season, which includes events from the Founders Day Honors Convocation, through the Commencement Exercises.

All members of the teaching staff are invited to attend the annual Commencement Exercises; faculty members having professorial rank have the privilege of participating in the academic procession. The families of faculty members are invited to attend most public occasions.

The Bureau of Public Occasions welcomes suggestions from members of the faculty and administration when it is organizing and administering a special program for their division, department, or bureau. Additional information concerning the Bureau may be obtained by telephoning the Office of the Director, (212) 598-2891.

Purchasing Policy

The responsibility for the purchase of all supplies, equipment, and services is centered in the Purchasing Services Division, located in Kimball Hall, 246 Greene Street, Washington Square Center. Requests for such purchases should be made on purchase requisition forms provided for that purpose and should be signed by the department head or chairman or his delegate. All requisitions should be filled out in detail and should include catalog numbers and other references whenever available. The staff of the Division is ready to give assistance and advice, if requested, in connection with preparing specifications, obtaining prices, and other preparatory steps.

The Purchasing Services Division also operates the Central Supply Section at 29 Washington Place, Washington Square Center, where standard office supplies may be obtained by University offices on presentation of a requisition designed for the purpose. A printed list of items carried in stock may be obtained by calling extensions 3197 or 3198 at Washington Square. Deliveries to centers other than Washington Square (excluding the Medical Center) are made according to the schedule shown on the stock list.

Student Extracurricular Activities

The academic programs at New York University are supplemented by a large variety of extracurricular activities. The many undergraduate student organizations range from clubs associated with academic departments through student government, publications, and special interest groups. Most of the graduate divisions also support some extracurricular organizations. Student organizations, for the most part, are open to students wherever enrolled in the University. In addition, many special activities are scheduled (lectures, concerts, exhibits, socials) to which all members of the student body and faculty are invited.

There are opportunities to serve as advisers for student organizations, and faculty members are urged to participate in the student activities program in such capacities, thus supporting the University in its attempt to advance the education and well-being of students outside as well as within the classroom.

Student Centers

The Gould Student Center at University Heights and the Loeb Student Center at Washington Square are focal points for student activities on each campus. They house student organization offices, meeting rooms, game rooms, lounges, and dining facilities. While students enjoy priority in the use of these facilities, a cordial welcome is extended to all members of the faculty to make use of as much of the service as is available.

International Student Center

The International Student Center, located at 54 Washington Square South, serves as the admissions office for nonimmigrant students and permanent residents with foreign educational backgrounds who wish to study in any division of New York University. In addition to evaluating foreign credentials and processing applications for admission, the staff of the Center provides orientation and counseling services for foreign students and for visiting professors, scholars, and research scientists after their arrival at New York University; administers all matters pertaining to student passports, visas, etc.; and offers opportunities for foreign students and scholars to participate in various social, cultural, and recreational activities.

The Center also acts as liaison in relations with governmental agencies, both foreign and domestic, and with the United Nations. For American students planning a program of study abroad, the Center acts in an advisory capacity to ensure that courses taken outside the United States will be given degree credit by New York University.

Religious Activities

As a nonsectarian institution, New York University maintains no formal ties with any particular religion or denomination, but does encourage the maintenance of active religious organizations at its two primary centers. At Washington Square, the Catholic Center is located at 58 Washington Square South, and Jewish, Protestant, and other organizations and groups have their headquarters at 2 Washington Square North. At the University Heights Center, Altschul House, at 2205 Sedgwick Avenue, serves comparable purposes. Members of the faculty are welcome to participate in the religious activities sponsored by these organizations and may do so by consulting the representatives of the particular groups in which they are interested.

Town Hall

The celebrated Town Hall, for many years the setting for concerts by great artists and the leading national forum for public affairs programs, has been administered by New York University since 1958. The air-conditioned auditorium is noted for superb acoustics and the excellent view of the stage from all 1,500 of its seats.

During the regular season, Town Hall, in the heart of Manhattan just east of Times Square at 113 West 43d Street, is host to musical, theatrical, film, and dance programs, as well as debuts and lectures, under a policy of modest admission fees.

New York University faculty members, staff, students, and members of their families may attend many Town Hall-sponsored functions at reduced rates, which are announced in advance. In addition, the N. Y. U. community is offered first choice on a number of special series and events. The Town Hall Executive Office welcomes specific inquiries concerning its programs (telephone: 582-2424).

University Development

As a private institution, New York University depends on individual, foundation, and corporate philanthropy to augment income from tuition, fees, and service charges. Gifts from private sources are essential for the University to fulfill its primary responsibility to provide quality education to its students and public service to the community and the nation. The Office for Development functions to raise the necessary funds to ensure the University's ability to perform its mission and to set new standards of excellence— by recruiting and retaining faculty members of demonstrated promise and accomplishment, by improving existing facilities and equipment, by meeting current operating expenses and supporting innovating programs of instruction and research, and by building new facilities to meet the expanding role of the University as the great urban education center of the future.

In 1969 the University launched a five-year development campaign with a goal of $222,500,000, of which more than $160,000,000 is designated for construction and endowment of new facilities and programs. This extraordinary effort far exceeds any previous New York University fund-raising campaign.

The Vice President for Development, in concert with other officers, coordinates the efforts of members of the Board of Trustees, University personnel, alumni, and friends of the University in obtaining the financial support necessary to realize these objectives. Mobilization of support for the University's academic programs and physical requirements is a major effort in which the cooperation and assistance of faculty members is important and in which each faculty member is urged to participate.

Other Useful Publications

A number of the various guidelines and policy statements that have been adopted over the years—those believed to be of most interest to the faculty member— are set forth in Appendix A to this Handbook. In addition to these, the faculty member will find it helpful to consult other University publications for specialized information.

The Faculty and Staff Benefits brochure, mentioned elsewhere in this handbook, should be obtained as a matter of course; it is issued by the Faculty Benefits Office (first floor, Kimball Hall, telephone 598-3181, 3182).

The Official Directory, described elsewhere in this handbook, and the Telephone Directory both contain departmental listings from which considerable information can be derived about the organization and operating modes of the various divisions of the University. The issue of the University bulletins for each school or college will contain much information on

local practices and the rules of the unit. Certain schools have also issued their own manuals for the guidance of their faculty members on intraschool affairs.

All faculty members should familiarize themselves with the principles set forth in the Recommendations of the Committee on University Purposes and Guidelines, better known as the "Hindle Committee Report." This separately published document sets forth guidelines on the legitimate extent of political activity feasible and permissible in a university community.

Faculty members who have occasion to seek or perform sponsored research will need to consult the Sponsored Research and Training Programs Manual, issued and periodically revised by the Office of Sponsored Programs (6 Washington Square North, Room 22). All aspects of the subject, from applications through final accounting procedures, are covered.

Those faculty members who eventually acquire some administrative responsibilities involving the supervision of staff, even if only of one secretary, should know about two other publications. Although each school will have someone, usually attached to the dean's office, who can give advice about dealing with employees, for more complete information consult the N. Y. U. Personnel Manual, which is of great assistance in this area. The manual is prepared by the Office of Management Development and Training of the Personnel Services Division, which should be consulted in case of questions concerning any of the matters covered therein. Similarly, the N. Y. U. Manual for Administrative Policies and Procedures, prepared by the Office Services Division, contains a great deal of information on day-to-day operations that is useful for academic as well as administrative offices. Copies of these last two manuals are kept available for consultation in the administrative offices of the University.

APPENDIX A: POLICIES ON RESEARCH AND OTHER MATTERS

Guidelines for Sponsored Research

(Adopted by the University Senate April 15, 1971)

A. The University should not undertake research sponsored by either public or private groups or agencies, unless the results can be made public through normal scholarly channels. Consistent with this policy the University will not accept classified Government contracts.

B. The New York University Senate shall provide for a committee which shall conduct a review of the policies with regard to sponsored programs at intervals of no longer than three years.

C and D. The present University policy with regard to the protection of human and live subjects in connection with experimentation is sound and should be maintained, as is the University's present policy with regard to conflict of interest.

E. Questions of the suitability of research in terms of intellectual, social, or moral criteria are best handled through peer contact and communication. To this end every sponsored research project should have a summary of its purposes and a record of its sponsorship on file with the Office of Sponsored Programs and other locations that the Chancellor designates. The summary should include the name of the project, its principal investigator, and dollar value. The summaries should be made available to the academic community on an annual basis and their availability should be publicized annually.

F. The Committee reaffirms the policy that sponsorship of a program confers no special rights on the donor in its operation or in the determination of its outcome.

G. The Chancellor of the University or his designated representatives shall have the responsibility to review and approve all proposals for sponsored research contracts or grants.

Conflict of Interest

A Joint Statement of the Council of the American Association of University Professors and the American Council on Education

(Announced December 1964; endorsed by the Board of Trustees on May 23, 1966)

The increasingly necessary and complex relationships among universities, Government, and industry call for more intensive attention to standards of procedure and conduct in Government-sponsored research. The clarification and application of such standards must be designed to serve the purposes and needs of the projects and the public interest involved in them and to protect the integrity of the cooperating institutions as agencies of higher education.

The Government and institutions of higher education, as the contracting parties, have an obligation to see that adequate standards and procedures are developed and applied; to inform one another of their respective requirements; and to assure that all individuals participating in their respective behalfs are informed of and apply the standards and procedures that are so developed.

Consulting relationships between university staff members and industry serve the interests of research and education in the industry. Likewise, the transfer of technical knowledge and skill from the university to industry contributes to technological advance. Such relationships are desirable, but certain potential hazards should be recognized.

A. Conflict Situations.

1. Favoring of outside interests. When a university staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in Government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between his Government-sponsored university research obligations and his outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:

a) Undertaking or orientation of the staff member's university research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the university and to the sponsoring agency;

b) Purchase of major equipment, instruments, materials, or other items for university research from the private firm in which the staff member has the interest without disclosure of such interest;

c) Transmission to the private firm or other use for personal gain of Government-sponsored work products, results, materials, records, or information that are not made generally available. (This would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of Government-sponsored research results where there is significant additional work by the staff member independent of his Government-sponsored research);

d) Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's Government-sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for Government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);

e) Negotiation or influence upon the negotiation of contracts relating to the staff member's Government-sponsored research between the University and private organizations with which he has consulting or other significant relationships;

f) Acceptance of gratuities or special favors from private organizations with which the university does or may conduct business in connection with a Government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring Government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

2. Distribution of effort. There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, outside

consulting). The way in which he divides his effort among these various functions does not raise ethical questions unless the Government agency supporting his research is misled in its understanding of the amount of intellectual effort he is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he performs are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of his effort to the Government-sponsored research, or he agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his involvement is to be expected. Each university, therefore, should—through joint consultation of administration and faculty— develop procedures to assure that proposals are responsibly made and complied with.

3. Consulting for Government agencies or their contractors. When the staff member engaged in Government-sponsored research also serves as a consultant to a Federal agency, his conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President's memorandum of May 2, 1963, Preventing Conflicts of Interest on the Part of Special Government Employees. When he consults for one or more Government contractors, or prospective contractors, in the same technical field as his research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his other interests. In undertaking and performing consulting services, he should make full disclosure of such interests to the university and to the contractor in so far as they may appear to relate to the work at the University or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the Government agency or its contractor of some technical aspect of the work of another organization with which he has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

Patent Policy Statement

(As approved by the Board of Trustees, November 26, 1956, and amended through October 1970)

I. Objectives.
The policies and procedures with respect to patentable inventions developed at New York University are directed toward the following objectives and purposes: (a) establishment of an orderly system whereby inventions resulting from research conducted under University auspices will be developed and utilized in the best interests of the public, the inventor, and the University; (b) provision for both the University and the inventor to share equitably the royalties and other income arising out of inventions developed under University auspices.

II. Administration.
(a) A committee of five members from the academic staff of the University shall be appointed by the Chancellor to direct the patent policy of the University. Such committee, known as the University Committee on Inventions and Patents (hereinafter sometimes referred to as the

"University Committee"), shall consist of: one member representing the arts and science faculties; one member representing the engineering faculty; one member representing the dental and medical faculties; and two members representing the other schools, colleges, and divisions of the University. (b) The University Committee shall adopt such rules and procedures as it shall deem necessary and proper to carry out its duties and powers hereunder and to implement the policy set forth herein. (c) Any college of the University may establish a college patent committee which shall administer matters pertaining to inventions and patents within the college, make recommendations to the University Committee with respect to University patent policy, and may act for the University Committee under the rules and procedures of that Committee. (d) Any decision, rule, or other action of a college committee shall be subject to approval by the University Committee. Any decision, rule, or other action of the University Committee on Inventions and Patents shall be subject to review by the President of the University.

III. Contract with Research Corporation.
(a) The University has entered into an agreement with Research Corporation, a nonprofit corporation engaged in the business of promoting patentable inventions, whereby the University may at any time offer to Research Corporation any invention which the University believes is patentable and should be developed for use by the public. Such invention may or may not be accepted by Research Corporation. (b) Upon accepting an invention: (i) Research Corporation acquires sole right and title, subject to contractual obligations of the University, to the invention and all patents obtained thereon; (ii) Research Corporation uses its best efforts to obtain a patent upon the invention and takes such other action as it deems necessary to develop and exploit the invention for use by the public; and (iii) Research Corporation pays to the University a certain portion of the royalties or other income arising from the invention, with special provision for apportioning unusual expenses and charges incurred in connection with the development of the invention, all as more particularly set forth in the agreement with Research Corporation. (c) Copies of the agreement between the University and Research Corporation shall be kept on file in the Office of the Chancellor, by the University Committee, by the several college committees, and in all principal administrative offices of the University.

Research is an integral part of the educational program at New York University. Such activity, stemming from the interests of the University staff, is part of the staff's regular employment, and, in some instances, is covered by contractual arrangements with sponsors. In the latter situation, patent and invention rights of the inventor and the University are generally defined.

The next two sections, IV and V, of this Patent Policy delineate procedures for processing inventions developed under these two different sets of circumstances: (a) inventions developed in the regular course of employment and (b) inventions developed on University research projects and sponsored research projects.

IV. Inventions Developed by Members of the University Staff in the Regular Course of Their Employment.

(a) As a condition of employment or continued employment by the University, every member of the faculty, research staff, or supervisory employee shall submit to the University Committee, through his college committee if one exists, any invention, reasonably considered patentable, developed by him, or with some other person, in the course of his employment by the University. The University shall offer the invention to Research Corporation pursuant to the terms of the aforementioned agreement between it and the University; or it shall offer said invention to some other entity under similar conditions; or declare its lack of interest to the inventor within a reasonable time as defined in the rules and procedures of the University Committee. In the event the University rejects the invention, it shall become the property of the inventor or inventors, subject, however, to the limitations set forth in paragraph (f) hereof.

(b) The term "in the course of his employment by the University" shall be understood to mean any research activity supported by the University through: (i) purchasing special apparatus for the inventor to conduct the research; (ii) providing paid professional or technical assistance to the inventor; or (iii) providing a specific reduction in teaching load to facilitate such research activity. The term "in the course of his employment" shall not, however, include activities supported by the University pursuant to specific contractual arrangement whereby the University is reasonably compensated for such support, nor shall it include activities arising in approved consulting work of a staff member.

(c) If such invention is accepted by Research Corporation or other entity, both the University and the inventor or inventors thereof shall assign all their right, title, and interest in the invention to Research Corporation or other entity, and the invention shall become the sole property of Research Corporation or other entity, pursuant to the terms of the aforesaid agreement between the University and Research Corporation or other entity.

(d) The University shall pay to the inventor, his heirs, executors, administrators, or assigns a portion of the net proceeds paid to the University and such portion shall consist and be computed exclusively from money received by the University from Research Corporation or other entity and arising out of commercial exploitation of the invention made by the inventor. Such portion shall be determined as follows: (i) The University Committee shall establish rules and standards for determining what portion of the monies paid to the University by Research Corporation or other entity and arising out of a particular invention shall be paid to the inventor or inventors of such invention. Where an invention is developed by one inventor, he shall ordinarily be paid fifty percent (50%) of the net proceeds received by the University from this invention. (ii) Where an invention is developed by more than one person, the University Committee shall determine what portion of the net proceeds received by the University shall be paid to the inventors, their heirs, executors, administrators, or assigns.

(iii) All decisions of the University Committee determining the payments to be made to a particular inventor and the reasons for such decision shall be set forth in writing.

(e) The payments to which the inventor shall be entitled hereunder shall be made within ninety (90) days after the receipt by the University of the monies derived from his invention during this annual period. In addition the University shall furnish the inventor or inventors with a copy of the statement of activity and computation, furnished to the University by Research Corporation or other entity, pursuant to its contract with the University.

(f) In the event Research Corporation or other entity shall reject an invention submitted to it, the University Committee, with the approval of the President, may nevertheless, in behalf of the University or its designee, accept such invention by notice mailed to the inventor or inventors within a reasonable time after receipt of notice of the rejection by Research Corporation or other entity. In such event, the inventor or inventors shall assign all their right, title, and interest in the invention to New York University or its designee who must file a patent application on behalf of the inventor within a reasonable time. The invention shall become the sole property of the University or its designee, and the provisions of paragraphs (d) and (e) hereof shall be applicable with respect to the distribution of all monies received by the University and arising out of commercial exploitation of the invention.

If the invention is rejected by both the University and Research Corporation or other entity, the University shall be deemed to have waived its rights in the invention. The inventor or inventors shall then be free to take such action as he or they deem desirable to obtain a patent upon the invention and otherwise exploit and develop such invention. In no event shall the inventor or inventors use the name of the University in exploiting the invention without the consent of the University Committee.

V. Inventions Developed on University Research Projects and Sponsored Research Projects.

(a) The University conducts special research projects which may be sponsored: (i) by the University through special appropriation; (ii) by some other person, corporation, or governmental agency under an agreement with the University. Such special research projects are understood to be those which operate under contractual agreements or Memoranda of Understanding.

(b) No person shall be assigned to any special research project as defined above unless he shall first sign a written statement that he agrees: (i) to be bound by the terms of any contract or agreement between the University and any person, corporation, or other agency sponsoring such special research project to the extent that the terms of such agreement provide for the disposition of inventions developed in connection therewith, or in the absence of any such contract or agreement; (ii) to be bound by the provisions of Part IV hereof with respect to any invention developed by him, either alone or in conjunc-

tion with some other person, as a result of his assignment to such special research project; and (iii) to submit any such invention to the University Committee, through his college committee if one exists, to be processed pursuant to the procedure set forth in Part IV above.

Copyright Policy Statement

(As approved by the Board of Trustees, January 24, 1972)

With certain exceptions, faculty members are free to copyright their lecture notes, manuscripts, and other writings developed from their scholarly activities, even though performed as part of their regular duties in the University. Copyright may be secured in the name of the individual faculty member or, by special arrangement, in the name of the University. Royalties normally accrue to the author, but in certain cases, royalties are assigned by the copyright holder in whole or in part to the support of the scholarly program of a particular department or school.

The principal exception to this permissive policy relates to programs financed by grants or governed by contracts imposing express obligations upon the University.

A recent major policy statement from the United States Office of Education, Department of Health, Education and Welfare, relating to copyright protection states in part: ". . .[W]ith respect to some materials [developed under governmental grants and contracts] the public interest will best be served by disseminating those materials without copyright. However, with respect to other materials, copyright protection may be desirable during development, or as an incentive to promote the effective dissemination of such materials. . . ."

Specific procedures are set forth by the United States Office of Education whereunder the University would be required to request authorization to secure copyright protection for works arising out of government-sponsored programs. Where such protection is authorized, a time limit of five years would generally be imposed and royalties generally would have to be shared with the Office of Education. Also the United States Government would receive "a royalty-free, nonexclusive and irrevocable license to publish, translate, reproduce, deliver, perform, use and dispose of all such materials for United States Government purposes."

Accordingly, it is desirable to set forth procedures to be followed by University personnel whose activities are supported in whole or part by any sponsor outside the University:

1. If the matter of copyright protection is not explicitly made a part of any contractual document or grant between the sponsor and the University, the University staff whose activities are covered by such documents are free to seek copyright protection in accordance with the practice described in the introductory paragraph of this statement.

2. If the contractual or granting document covering any research or training program at the University has explicit reference to copyright protection, the University staff whose activities are so covered are bound by

those conditions and are obligated to do all things necessary to enable the University to fulfill its obligations.

3. The University shall notify each research project director of obligations with respect to copyright which may exist by virtue of contract provisions relating to his particular activities.

4. If, in any particular case, it seems desirable to obtain copyright protection, the matter should be referred to the Office of Sponsored Programs at Washington Square (Ext. 2191). A decision based upon the particular facts presented will be made after consultation between personnel of that Office and the research project director in charge of the matter in question.

University Practice with Respect to Memberships and Subscriptions

(Memorandum, Chancellor Cartter, October 4, 1971.)

In general, the University will assume liability for professional fees, dues, and subscription charges only in approved organizations that provide for institutional membership. A single institutional membership should suffice for all interested schools, divisions, and individuals.

Any individual membership is a personal responsibility, except when such membership has been approved by the Chancellor's office as essential to a University program. In instances of this nature, the University will normally assume liability for not more than one individual membership, and any printed matter or material issued to the member will be the property of the University.

The University will not pay the dues of individuals in social clubs, including faculty clubs and the New York University Club, under the same principle as that in the paragraph immediately above. However, if charges incurred at such clubs are directly attributable to University business, a claim for proportionate reimbursement may be made through the usual channels, if the necessary budgetary appropriation has been made for such expenditures.

All memberships and other charges which fall under budget code 401 are processed through the Office of the Secretary for registration and approval.

Policy Statement on Reimbursement for Travel

(Effective April 1, 1971)

The rates of reimbursement are as follows:
Automobile mileage. . . 12¢
Subsistence:
1. Maximum actual per day. . . $35.00*
2. Per diem 25.00
3. Subsistence allowance in addition to actual lodging cost 12.00*

* ONR contracts permit a maximum of only $30 per day, consisting of $12 unsubstantiated subsistence plus actual lodging. Other agencies may have similar limitations. Please check before traveling on grant or contract funds.

Policy. University policy, as it pertains to the cost of travel in an official capacity, is to reimburse the faculty and staff for necessary expenses. It is assumed that good judgment will be used in determining when travel is necessary, in electing modes of transportation, and in incurring expenses. It is the responsibility of the appropriate dean, department head, project director, or other officer to approve only those travel expenses which appear reasonable and necessary. The approving officer may— in order to meet special circumstances and specific requirements or restrictions of particular grants or contracts—limit reimbursement to something less than the full amount spent.

Travel expenses include:

1. the cost of transportation,
2. subsistence, and
3. seminar and conference fees.

Reimbursement for Transportation. Transportation expense may include the cost of rail, air, bus, taxi, subway, rented or privately owned automobiles used to and from terminals and destination points.

1. Rail. Reasonable accomodations suitable for the duration of the trip, usually first class, with lower berth or roomette.

2. Air. Economy, tourist, air-bus, or shuttle service should be used whenever practical; first-class accommodations require justification under federally sponsored programs.

3. Automobile. (a) Rented automobiles are permitted. Arrangements should be made with the Purchasing Services Division as it has discount agreements. (b) When justified, use of a privately owned automobile is permitted. The usage allowance for the car is 12 cents per mile. Reimbursement is made in accordance with standard highway mileage guides. When one or more persons travel in a car only one allowance may be claimed. (c) The cost of parking and tolls on roads, bridges, and tunnels will be reimbursed.

Note: The University assumes no responsibility for damage to an employee-owned automobile as a result of an accident or with respect to any loss as a result of wear, fire, the elements, or theft of automobile, its parts, accessories, or any personal property contained therein. Furthermore, liability insurance carried by the University does not protect the driver of the automobile or its owner against loss resulting from bodily injury or death of the driver or others or from damage to property. Accordingly, faculty and staff members shall satisfy themselves as to the adequacy of their automobile liability insurance protection for the conditions under which the vehicle is to be used.

Subsistence. Subsistence may include lodging, meals, tips, telephone and telegraph, laundry, and transportation to and from places of duty. Different methods of submission may be used, depending on contractual arrangements, and a person must decide whether or not he will claim reimbursement on an actual basis. Once the decision has been made, it must be consistently followed.

1. Actual subsistence expenses may be used. Where practicable, they should be documented by hotel bills or other evidence of payment.

Sponsors frequently include in agreements a clause that limits the recovery of actual subsistence costs or requires the University to fix a maximum rate for actual subsistence. For the University, the maximum is $35 per day.

2. The per diem allowance in lieu of actual subsistence is (a) $25 per day to cover the cost of lodging, meals, and gratuities, or (b) lodging at actual cost (supported by receipts) plus an allowance for meals and gratuities of $12 per day.

Note: ONR contracts permit only option 2, with a maximum of $18 for lodging when the $12 allowance is used. Other agencies may have other restrictions.

Travel Advances. A travel advance may be obtained by a person traveling on official business. The advance payment should not exceed the estimated cost of the trip. Travel advance forms may be obtained from the Controller's Office.

Travel Accident Insurance. All faculty and staff members of New York University are covered by a travel accident insurance policy from the time they leave home or office at the inception of an official University trip to anywhere in the world. This policy remains in effect while they are on University business until they return to home or office, whichever comes first.

Benefits for loss of life, limb, or sight sustained within 180 days after the date of the accident are payable in accordance with a schedule of benefits based on the principal sum, which is six times the annual base salary, subject to a maximum benefit of $150,000.

Other travel insurance taken out by the individual is not reimbursable.

Note: It is important for any employee of the University to establish formally that he is traveling on University business before the trip is started in order to avoid any challenges in insurance matters. This can be accomplished by a memorandum from the dean, departmental chairman, director, principal investigator, or senior University officer having responsibility for the program, approving and directing the employee to make the trip.

Foreign Travel. Travel outside the continental United States requires the prior written approval by the sponsor, when charged to a contract or grant. If the trip is to be charged to an administrative account it must be approved by the appropriate official for the particular school. Individuals holding federal security clearances should consult their security officer prior to foreign travel to ensure that applicable security requirements are complied with.

Travel Accounting. It is very important that travel accountings be processed through the Controller's Office as soon as possible. This will ensure timely charging of the expenses to the appropriate accounts and will greatly

reduce the costly expense of clerical follow-up. In addition, it will speed up reimbursement of amounts expended in excess of advances received.

Policy Statement on Honorary Degrees

(Adopted by the Board of Trustees, November 25, 1968.)

The University grants honorary degrees to signalize respect for individuals who have made outstanding contributions to mankind or who exemplify ideals and purposes for which the University stands. The following guidelines have been followed in making selections:

1. In selecting candidates for honorary degrees at Commencement, the Membership and Honors Committee seeks to present a balanced group that demonstrates the breadth of the University's interests and concerns. At the same time, the number of candidates selected is kept relatively small (between six and eight in recent years) in order not to dilute the significance of the degree or to prolong the Commencement ceremonies.

2. One criterion for awarding honorary degrees is to signalize areas of unusual distinction within New York University.

3. The University has a deliberate policy of honoring alumni who have achieved outstanding positions and have made unusual contributions to their professions. There is an equal policy against awarding an honorary degree to any Trustee, administrative officer, or faculty member engaged in regular full-time service in the University.

4. The University prefers to award honorary degrees to those who have not already received a host of degrees from other institutions but are on the threshold of general recognition. In certain instances, however, such as those involving national leaders of great distinction, the fact that an individual has received a number of degrees from other institutions is not a deterrent to his being awarded a degree by New York University.

5. Recommendations for honorary degrees are received from Trustees, faculty, staff members, and other friends of the University. They are filed on a standard form, the contents of which are summarized by the Secretary of the University for consideration of the Membership and Honors Committee at its meetings prior to the Board meetings.

6. The degrees granted at Commencement are planned months in advance and involve the concurrence of the entire Board of Trustees. The University considers it appropriate also to grant degrees on particular occasions during the year for the purpose of celebrating an event within the University or for honoring a particularly distinguished visitor to the University. These degrees need be approved only by the Membership and Honors Committee.

7. An informal procedure for consultation with appropriate deans and senior faculty members, through the offices of the President and the Secretary, has been regularly followed in the past, particularly when it is desired through an honorary degree to recognize outstanding achievement in a particular area of academic activity. This procedure is to be continued

with respect to honorary degrees awarded at times other than at Commencement.

8. A more formal procedure for consultation with a committee of the Senate has been developed with respect to honorary degrees to be awarded at the annual Commencement Exercises, in view of the special authority of the Senate under the University Bylaws over Commencement as an inter-school function.

APPENDIX B: POLICIES CONCERNING GOOD ORDER AND DISCIPLINE WITHIN THE UNIVERSITY

New York University Rules for the Maintenance of Public Order

(May 26, 1969; amended January 25, 1971)

The Trustees of New York University do hereby adopt the following rules for the maintenance of public order on campus and other University property used for educational purposes, and a program for the enforcement of these rules; and do hereby authorize the President of the University to file a copy with the Regents and the Commissioner of Education as provided in section 6450 of the New York Education Law.

I. Rules of Conduct

A. All members of the University community— students, faculty members, and members of the staff— shall comply with city, state, and federal laws and ordinances affecting the maintenance of order on University premises.

1. Conduct that is violative of such laws and ordinances occurring on University premises may be subject to both University discipline and public sanctions as circumstances may warrant or dictate.

2. Conduct that is violative of such laws and ordinances occurring off University premises will ordinarily not be subject to University discipline, unless such conduct:

a) seriously affects the interests of the University or the position of the member within the University community; or
b) occurs in close proximity to University premises and is connected with violative conduct on University premises.

B. All members of the University community are prohibited from engaging in conduct leading to or resulting in any of the following:

1. Interference with or disruption of the regular operations and activities of the University.

2. Denial of, or unreasonable interference with, the rights of others— including persons not members of the University community who are present as invitees or licensees— on University premises. These rights include the right of academic freedom as well as constitutionally protected rights.

3. Injury to University property, real or personal.

4. Unauthorized access to or occupation of nonpublic areas on University premises, including but not limited to classrooms, seminar rooms, laboratories, libraries, faculty and administrative offices, auditoriums, and recreational facilities.

5. Unauthorized access to or use of personal property, including files and records.

C. Visitors, including invitees and licensees, shall at all times conduct themselves in a manner that is consistent with the maintenance of order on University premises, and their privilege to remain on University property shall automatically terminate upon breach of this regulation. The University in addition reserves the right in its discretion to withdraw at any time the privilege of an invitee or licensee to be on University premises. A trespasser has no privilege of any kind to be on University property but is nevertheless subject to these regulations governing the maintenance of order.

D. Any authorized member of the University community, after properly identifying himself, may in the course of performing his duties, request identification from members of the University community. Refusal to identify oneself shall be considered prima facie evidence of non-University status.

"Authorized" members of the University community shall include:

1. Members of the University Administration
2. Faculty in the performance of teaching or supervisory duties
3. Faculty or student marshalls designated by the University Senate or the University Administration
4. University security officers

E. Nothing contained in these rules is intended nor shall it be construed to limit or restrict the freedom of speech or peaceful assembly.

II. Program of Enforcement

A. Visitors (Invitees, Licensees, and Trespassers). When an administrative officer or member of the protection service of the University in his discretion determines that the privilege of an invitee or licensee to be on University premises should be withdrawn, he shall ask the invitee or licensee to leave the premises, and the invitation or license shall thereby be terminated. If any person, whether initially a trespasser, licensee, or invitee, fails to leave University premises promptly upon request, the University will use all reasonable means, including calling for the assistance of the police, to effect his removal.

B. Summary Suspension of Members of University Community. Penalties for violation of University rules shall not be imposed upon members of the University community except after compliance with the disciplinary procedures applicable to students, or faculty members, or members of the University staff (administrative and other employees). However, summary suspension pending disciplinary proceedings may be imposed upon students in accordance with the bylaws, or upon faculty members in accordance with the Rules of Tenure and Related Provisions, as adopted and subsequently amended by the Board of Trustees, or upon members of the University staff in accordance with administrative practice.

C. Disciplinary Action. A member of the University community who is charged with a violation of the University rules set forth in Section I above shall be subject to appropriate disciplinary action as follows:

1. Students

a) If the alleged violation of University rules involves a matter affecting more than one school, disciplinary proceedings shall be carried out under the Rules Regulating Student Disciplinary Proceedings adopted by the Senate in accordance with the authority delegated to it under paragraph 34(c) of the University Bylaws.

b) If the alleged violation of University rules involves a matter affecting only one school, disciplinary action shall be carried out by the faculty of the school in which the student charged is enrolled. The authority of the faculty is derived from paragraph 61(b) of the University Bylaws. Disciplinary proceedings shall be in accordance with the established practice of the school. In the absence of an established practice in a school, the following procedure shall be used:

(i) When a charge of misconduct has been made, the dean of the school, or such other administrative officers or faculty members as may be designated, shall try to resolve the matter on an informal basis.

(ii) If the matter cannot be disposed of on an informal basis, the hearing procedure shall follow in principle, though not necessarily in detail, the provisions in the Rules Regulating Student Disciplinary Proceedings, with the following exceptions: (a) no verbatim record of the proceeding shall be required, (b) the hearing tribunal shall be composed of such persons as the faculty of the school may designate, and (c) the appellate tribunal, if any, shall be a person or persons within the school or the University.

2. Faculty Members

a) When a faculty member is charged with a violation of these rules, an effort shall be made to resolve the matter informally under the direction of the dean of his school at the departmental level or with a committee of the faculty of that school.

b) When the matter cannot be resolved as provided in the preceding paragraph, disciplinary action shall proceed as follows:

(i) If the faculty member charged with a violation has permanent or continuous tenure (and the charge is brought specifically to terminate service), the Rules of Tenure and Related Provisions shall apply.

(ii) If the faculty member does not have continuous or permanent tenure, his case shall be referred to a special committee of the faculty designated for that purpose. (See below: the General Disciplinary Regulations Applicable to Both Tenured and Non-tenured Faculty Members.) The special committee shall adopt its own rules of procedure. It shall have the authority to impose any of the penalties, other than dismissal, listed in section II-D

and to recommend the penalty of dismissal. A recommendation for dismissal of a faculty member who does not have continuous or permanent tenure shall be submitted to the dean of his school for approval and shall not become effective except on the concurrence of the Chancellor as provided in paragraph 52(a) of the University Bylaws.

3. University Staff: Administrative Officers and Other Employees

When a member of the University staff, other than a faculty member, has been charged with a violation of University rules, the charge shall be considered and determined administratively in accordance with established practices of the department to which the staff member is assigned. If the person against whom the charge has been made is both an administrative officer and a faculty member his case shall be governed by this section unless the violative conduct was of such a nature as to call into question his continued qualification for service on the faculty; in the latter event, disciplinary action will proceed in accordance with section II-C-2, above.

D. Penalties. Penalties for violation of University rules that may be imposed upon members of the University community include, but are not limited to, the following:

1. Reprimand
2. Censure
3. Removal of privileges
4. Suspension
5. Dismissal or expulsion

Statement of Policy on Student Conduct at New York University

(Adopted by the University Senate, February 29, 1968)

Preamble

The Bylaws of New York University, entrusting the "educational conduct" of each school to the faculty and officers of that school, provide that "subject to the approval of the Board and to general University policy, it is the duty of each faculty . . . to make and enforce rules for the guidance and conduct of the students." These Bylaws also authorize the University Senate to act upon such matters which affect more than one school; and in these instances, the Senate speaks for the joint faculties of the University.

The University operates under a University common law, developed with respect to both substance and procedure over more than a century of existence, as well as under the University's Charter and Bylaws. In the past, questions of student conduct referred to disciplinary committees have generally concerned problems of academic honesty, such as cheating or plagiarism, and were properly dealt with by the single school involved. More recently, instances of questionable student conduct have involved problems such as the maintenance of order in University buildings and grounds, in connection with protest demonstrations, and have frequently involved students from more than one school. In light of this development,

the Senate believes that a statement of University-wide policies on student conduct, reflecting the University common law, is necessary.

1. Statement of Principles

It is our judgment that the University, like other communities and organizations in our society, has an inherent right to require the cooperation of its members in the performance of its educational functions, and to control and regulate the conduct and behavior of such members which tends to impede, obstruct, or threaten the maintenance of order and achievement of the University's educational goals. We further believe that the relationship between the University and its students is a special educational relationship involving rights and obligations, as well as considerations and procedures, which are distinct from those in the courtroom, the political arena, or the market place; and that from the very nature of the University as an educational community, both the substantive rules and the procedural processes related to student conduct must be equitable and just.

2. Basic Rules of Conduct

Students are expected to conduct themselves as mature and law-abiding members of both the University community and the general community, and to comply with requests of the administrative authorities of the University for maintenance of order on University premises. Behavior which jeopardizes the health or safety of the University community, or disrupts the educational activities and supporting services of the University is subject to review and possible penalty in accordance with the procedures and practices of the University and its colleges, schools, or divisions. Where activities sponsored by student organizations constitute violations of University rules or of public laws and regulations, sanctions may be imposed on such organizations as well as on individual students.

The University should not use its powers to interfere with the rights of a student outside the University campus. In general, a student's off-campus activities should be subject only to sanctions of the public authorities. Where a student is convicted of a violation of law, he should not be subject to University discipline for the same offense unless his conduct seriously affects his position as a member of the academic community. Where a student's conduct on campus constitutes violations of both University rules and public law, he may be subject to both University discipline and public sanctions.

3. Academic Freedom

The University is a community where the means of seeking to establish truth are open discussion and free discourse. It thrives on debate and dissent. Free inquiry, free expression, and free association are indispensable to the purposes of the University, and must be protected as a matter of academic freedom within the University, quite apart from the question of constitutional rights.

Accordingly, conditions must be such as to allow this freedom for all. Causes may be supported by orderly means; but the University cannot tolerate suppression of ideas, nor the forceful disruption of the regular and

essential operations of the University community. Regardless of sincerity, no individual or group of individuals has the right to disrupt or to interfere unreasonably with the workings of the colleges, schools, or divisions of the University or with the regular processes of education and service to its members. Regardless of moral impetus, no student or group of students has the right to deny the freedom of other members of the University community.

4. Invitations, Demonstrations, Protests

Students are entitled to invite and hear persons of their own choosing. Since no outside person or agency has an independent right to use University facilities, each must be directly or indirectly invited through appropriate University channels, and each is entitled to the courtesy owed by the University to an invited visitor. It is improper for students to harass the visitor or impede the purposes of his visit by violent means or threats, or by any other method that is offensive or unacceptable to an educational community.

Forums are to be encouraged, particularly on subjects where there are differences of opinion. Career counseling and job interviewing are also considered a legitimate part of the activities of the University in support of its educational program. Where counseling or recruitment is connected with a controversial issue, every effort should be made to allow a general discussion of the issue, but apart from the job interviewing. Such discussion of the issue should not be considered a necessary condition precedent to counseling or interviewing. It is improper, as inconsistent with the purpose of the University to subject speakers, recruiters, job interviewers, or other official visitors to political, social, or moral sanctions or tests.

It is expected that all such activities, whether forums, lectures, recruitment programs, job interviews, and the like, will be conducted in a manner appropriate to an academic community. The right to engage in peaceful protest must be honored and protected, but such protests must take place in a manner that does not interfere with normal academic procedures. Freedom of discussion does not include the license to disrupt a meeting or interview. Demonstrations, including those which are described as peaceful, cannot be allowed to interfere with the rights of others to have normal access to the persons against whom the demonstration is addressed; nor can demonstrations be used to harass or intimidate other individuals or groups.

5. Use of University Facilities

The University administration necessarily has the right to control the access to and use of institutional facilities. If in the judgment of a University official, or an administrative officer of a college, school, or division, or a member of the faculty who has responsibility for a particular activity, a student or group of students or other persons are interfering with the rights of other individuals or groups, as above, said official has the right to ask the student or group of students to leave the room, hall, or building. Refusal of a student or group to do so after warning shall be considered a sufficient basis for the institution of disciplinary proceedings, subject to the defense in such proceeding that the order to leave was ultra vires or unreasonable.

6. Disciplinary Proceedings

The University Bylaws provide that the power of suspending or dismissing a student in any school is lodged with the faculty of that school, but the President or the dean of a school may suspend a student pending consideration of his case by the faculty. Each faculty has the duty of enforcing not only its own rules of conduct but also, in appropriate cases, the University rules of conduct established by the Senate under the authority granted to it by the University Bylaws.

Speakers and Other Campus Visitors

(A Recommendation of the Commission on Student Life at Washington Square, affirmed by the University Senate on February 29, 1968.)

The University is committed to upholding freedom of inquiry and expression on the campus;

The interests of the academic community are not served by fear and suppression of free discussion, controversy, and dissent;

The University upholds and encourages the freedom of students to express their views, to protest and demonstrate in an orderly and peaceful manner.

Hence:

We support the presence of speakers and other campus visitors without subjecting them to political, social, and moral tests;

We support the freedom of expression and the invitation of speakers and other visitors without obstructive or restraining actions by individuals or groups, whether they constitute a majority or minority of students, faculty, or administration;

We reject the use of physical force or other disruptive means to obstruct and restrain speakers and other campus visitors as destructive of the pursuit of inquiry and learning in a free and democratic society.

Guidelines for the Use of University Facilities

(Adopted by the University Senate, April 29 and May 13, 1971)

1. For the purpose of these Guidelines, the following definitions apply:

a) A University facility is one which is primarily academic, social, dormitory-residential, or noncommercial in nature. Excluded from the scope of these Guidelines is space within a University facility used for offices of faculty, staff, or other employees; non-dormitory residences (e.g., University Plaza Apartments); or for commercial purposes (e.g., space rented to a public restaurant).

b) A University organization is an organization whose membership is limited exclusively to students, faculty, administration, staff, or alumni of New York University. A non-University organization is any organization whose membership is not so limited.

c) Members of the University community are persons who are currently students, faculty, administration, staff, or alumni of New York University.

2. The use of University facilities shall be limited to lawful purposes. The assignment of space within University facilities shall be determined within these Guidelines by the primary function of the facility, the attendant priority in its use and the purpose for which the space is designed and for which it is suitable.

3. It is recognized that the assignment of space for academic purposes is governed by the Chancellor or his designated representative.

4. For each University facility the Chancellor shall designate an officer or office (hereinafter, the local office) who shall be primarily responsible for allocating space available for nonacademic purposes and for coordinating the nonacademic use of such space with its academic use. A local office may be responsible for more than one facility.

a) The office shall prepare a list of space within the facility available for nonacademic use, which shall be determined in accordance with the purposes for which the space was designed and its customary use. Such space may include classrooms or seminar rooms when not in academic use or held in reserve for academic use.

b) The Office of the Chancellor in consultation with the local office shall prepare, consistent with these Guidelines, a schedule of fees, if any, for the use of space within the facility for nonacademic purposes. The schedule may include the requirement of a deposit according to the proposed use of the facility.

c) The local office shall also prepare a summary of special rules and regulations governing the use of space within the facility, including notice of legal limitations on the number of persons who can be accommodated in a given space, and opening and closing hours.

5. While each local office of a facility shall be finally responsible for the assignment of space available for nonacademic purposes, reservations for use of such space at Washington Square and at University Heights may be made through the following central offices:

a) For University facilities at Washington Square, through the Loeb Student Center Reservations Office.

b) For University facilities at University Heights, through the Gould Student Center Reservations Office.

6. While specific space may be requested, its assignment will be governed by these Guidelines. If an applicant, otherwise qualified to reserve

and use space within a University facility, is denied requested space on the grounds that the proposed use is inappropriate, the central office shall endeavor to find alternative space suitable for his purpose.

7. A standard reservation form shall be used by both local and central offices in the assignment of space in University facilities for nonacademic purposes so that comprehensive records can be maintained. The form should include full information about the persons assuming responsibility for the use of the space and the nature of their responsibility for charges, extra expenses, and damages. The form shall also indicate whether persons other than members of the University community are to participate, by invitation or otherwise, in the use of the facility.

8. Reservations may be made for single occasion use, multiple occasion use, or for long-term assignments. Any long-term assignment of space available for nonacademic purposes will be reviewed at least annually.

9. Assignments to non-University organizations for single occasion or multiple occasion use of space within a University facility available for nonacademic purposes shall be made only on the following conditions:

a) The application must be sponsored by a unit of the University administration or faculty, by a faculty organization, or by a registered student organization which shall assume responsibility, including financial obligations, for the non-University organization in connection with this application.

b) The purposes and objectives of the non-University organization must be consistent with the educational purposes of the University and not conflict with any legal restrictions on the use of University facilities.

c) The organization must qualify as a nonprofit organization under section 420 of the New York Real Property Tax Law. The burden of establishing eligibility rests with the organization, but doubtful cases shall be referred to the office of the General Counsel for decision.

d) Arrangements for any long-term assignments of space to non-University organizations must be made under a lease with the University.

e) An application for assignment of space for one or more occasions made in the name of a University organization shall be deemed to be made by a non-University organization and subject to the requirements of these Guidelines when, for any occasion, the expected attendance of persons who are not members of the University community exceeds the expected attendance of persons who are members of the University community.

10. The acceptance of reservations and the assignment of space within a University facility available for nonacademic purposes will be made in accordance with the following schedule of priorities:

a) Members of the University community for whose use the facility was primarily designed, e.g., Commerce [Business and Public Administration] faculty, administration, or students in Commerce Building, Weinstein residents in Weinstein Halls, student organizations in Loeb and Gould Student Centers.

b) University organizations of faculty, administration, staff, or alumni, and registered student and student-faculty organizations.

c) Non-University organizations meeting the requirements of paragraph 9 above.

d) Meetings (limited to one or two) to organize a University organization, as defined above, sponsored by a member of the student body, faculty, or administration.

e) Other use by students, faculty, and administration.

11. University organizations may use space in University facilities for the purpose of engaging in political activities when those political activities are directed and conducted within the University. The organization will be required to pay all reasonable charges, including overhead, for the use of space and equipment in connection with these political activities. University facilities are not available under any circumstances to non-University organizations for use in political activities. Political activities are activities in support of, or in opposition to, legislation, or in support of, or in opposition to, any candidate for political office.

12. The use of University facilities for the purpose of raising funds, whether through charging admission to an event, by soliciting voluntary contributions, or otherwise, is permitted only as follows:

a) By University organizations, provided the funds raised are intended for purposes consistent with the purposes of the University and its exemption from registration under the New York Social Services Law, and in no event are intended to be used for the support of political activities.

b) By non-University organizations, qualifying under paragraph 9 above to use University facilities, provided the funds are to be used for the purposes upon which their tax-exempt status is based. In this event the organization will be required to pay all reasonable charges, including overhead, for use of space and equipment.

13. In consultation with the local offices, certain areas in University facilities will be designated for the distribution of literature by members of the University community only, upon the following general conditions:

a) The flow of traffic is not impeded.

b) Normal functions of the facility are not disrupted.

c) Sales of a commercial nature are prohibited.

14. The following areas relevant to Guideline 13 are hereby tentatively designated for the distribution of literature by members of the University community:

(1) For personal distribution and deposit for pick-up:

a) Alumni Hall (School of Medicine) lobbies and entrances—through arrangement with the Student Council (for student organizations and individual students) or the Dean's Office (for others).

b) Gould Student Center lobby— under policy set by the Gould Student Center Policy Board and administered by the Office of the Director.

c) Main Building Lobby.

d) Residence Halls, University Heights lobbies— under policy set by individual dormitory governments and administered by the head residents.

(2) For personal distribution:

a) Education Block lobbies— through arrangement with the Office of Administrative Services.

b) Loeb Student Center, basement outside Commons, first floor between stairs and lattice— promotion table arranged through the Reservations Office.

c) Vanderbilt Hall Lobby— by members of the School of Law community only.

(3) Deposit for pick-up:

a) Commerce Building, corridor ledge.

b) Vanderbilt Hall, guard's desk.

15. A standing University Facilities Committee, representing students, faculty, and administration equally, shall be established by the Senate. The terms of office of the members of the committee shall be staggered to achieve continuity. The committee shall be responsible for a yearly review of these Guidelines and for informing appropriate administrative personnel about the operation of these Guidelines. The committee shall also be responsible for developing additional guidelines, if needed, for approval by the Senate; for hearing grievances and arbitrating disputes; and for determining violations of the Guidelines. Appeals from decisions of the committee may be made to the Senate or its designate.

16. Any violation of University regulations, including these Guidelines, shall be sufficient cause for the cancellation of, or limitation on, assignment of space by the University Facilities Committee, without prejudice to any other sanctions that may be imposed by any disciplinary body within the University.

Title III: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, pursuant to Title I, Section VI, paragraph 8, of the Statement in Regard to Academic Freedom and Tenure. *

(Adopted by the University Board of Trustees on October 24, 1960)

I. Initiation of Dismissal Proceedings

1. Whenever the President or the Chancellor of the University or the dean of a college, school, or division of the University with the assent of the President or the Chancellor shall deem such action is warranted, he shall initiate proceedings to terminate the service of a tenured member of the teaching staff, for cause. He shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of his service for cause, shall be mailed by registered mail, to the person involved.

2. The person against whom the charges are made shall serve a written answer upon his dean and the President of the University within twenty days after service of the charges and notice upon him. The time for service of the answer may be extended by the President or the Chancellor of the University in the interests of substantial justice.

3. Upon receipt of the answer of the person involved, the dean shall forward to the chairman of the Faculty Tenure Committee copies of the written charges and of the answer to such charges.

4. If the person against whom the charges are made shall fail to serve a written answer within twenty days, or any extension of such time, the dean shall nevertheless forward the charges to the chairman of the Faculty Tenure Committee with a statement showing that no answer has been served by the person involved.

5. Within fifteen days after submission of the charges and answer, or of the charges alone, as the case may be, to the Faculty Tenure Committee, the chairman of such committee shall set a time for the first hearing, which shall not be more than thirty days thereafter unless further time is granted by the chairman upon request of either party.

II. The Faculty Tenure Committee

(As amended September 18, 1968)

1. The Faculty Tenure Committee shall have jurisdiction under the "Statement in Regard to Academic Freedom and Tenure," published by the Board of Trustees of New York University, to hear the charges against a tenured faculty member in proceedings for termination of his service for cause. Its powers are confined to such cases and do not extend to grievances concerning the terms of special contracts of employment, promotion, salary, conditions of work, or similar questions.

* The case of a nontenured member of the teaching staff which may involve termination for cause of an appointment falls under the policy set forth in Title IV, below.

2. The Faculty Tenure Committee shall consist of a faculty representative from each school or college in the University. The representative shall be a retired senator who is still a full-time teacher in the University, still holds primary appointment in the unit he represented as a senator, and is not a dean or the incumbent of a comparable administrative position. The most recently retired senator shall be named first, and in his absence by reason of leave, illness, or other temporary bar, then the next most recently retired senator, and if he be unable to serve, then the next most recently retired senator, and so on until the list of retired senators has been exhausted. If there be no available and properly qualified member of the faculty of the unit who has ever at any time served as an elected member of the Senate, then a representative who is eligible to be an elected member of the Senate shall be elected by the faculty of the unit in the manner in which an elected member of the Senate is elected.

3. The Faculty Tenure Committee shall meet in October of each year, at the call of the vice president of the Senate, to elect a Committee chairman who shall serve until his successor is elected.

III. Conduct of Hearings before Faculty Tenure Committee

1. A calendar of the hearings in a proceeding for dismissal shall be fixed by the chairman of the Faculty Tenure Committee after consultation with the parties to the proceeding; the calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the committee orders exceptions for due cause. Whenever the interests of substantial justice appear to so require, the committee may direct either or both parties to submit a summary of the evidence, or a first list of witnesses to be called, or both. If the statement of the charges, or the answer thereto, appears to the committee to be indefinite or obscure, the chairman may require a more definite statement.

2. The chairman shall conduct the hearings and be the presiding officer. He shall rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the committee. Upon such appeal the decision of a majority of the committee members present shall control. The chairman shall have the power to enlarge the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.

3. The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Subject to the provisions of section 2 of this article III, each member of the Committee, at the hearing, may inquire into whatever he believes is relevant to the inquiry.

4. The person involved may be advised by counsel of his choice, as may be the administrative officer designated to represent the University; but neither counsel shall have the right to conduct the case actively on behalf of the party whom he represents. Counsel for both sides shall cooperate at all times with the Committee.

5. A request by either party to present witnesses shall be made to the Committee which may limit the hearing of witnesses at its discretion. If witnesses are called, each party has the right of cross-examination and rebuttal.

6. Each party may introduce exhibits, which shall constitute part of the record of the case; they shall be retained in the custody of a suitable person designated by the chairman unless after appropriate precautions to preserve a record of their purport, the chairman shall order otherwise.

7. A stenographic record shall be made of all proceedings at the hearings, except that on order of the chairman procedural matters may be discussed in executive session in which event the minutes need not be included in the transcript of the record of the hearings. This transcript shall be available to all parties to the hearing.

8. Each party shall have equal opportunity at the final session of the hearings for the summation of the case, either in person or by counsel, but no new evidence or rebuttal testimony may be introduced during such summation.

9. No less than two thirds of the members of the Committee shall be present to constitute a quorum at any meeting. The affirmative vote of a majority of a quorum shall constitute any action by the Committee. Subject to the foregoing, the Committee may adopt rules regarding a quorum and other rules, provided these are not inconsistent with the provisions herein set forth.

10. Upon completion of the hearing the Committee shall deliberate and make its report.

11. No recommendation of dismissal shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing. In any such case, the evidence in support of the charges shall be carefully evaluated, and the administrative officer in charge shall present all material evidence in favor of the person involved of which he has knowledge.

IV. Report of the Faculty Tenure Committee

1. The report of the Faculty Tenure Committee shall be in writing and shall consist of (a) a transcript of the record of the hearings with the substantiating evidence presented by the parties, (b) such findings and recommendations as the Committee shall make including a statement of the facts deemed essential to the findings, (c) a memorandum setting forth the reasons for any recommendations, (d) any memorandum submitted by any member of the Committee, at his own discretion, with reference to his opinion as to the matters in controversy.

2. Each finding and recommendation shall be reported with the numerical vote of the members of the Committee but not with the names of the members who voted for or against the same.

3. The full report as described in section 1 of this article IV shall be submitted to the Board of Trustees of the University. Complete copies of items (b), (c), and (d) described in section 1 shall be transmitted to the President of the University and to the parties to the hearing.

V. Action by the Board of Trustees

1. The Board of Trustees of the University shall consider the findings and recommendations of the Faculty Tenure Committee on the record made at the hearings before the Committee. If the Board deems the record is not complete, it may refer the matter back to the Committee for further data, findings, and recommendations.

2. An opportunity for argument before the Board of Trustees shall be afforded to each of the parties or their representatives, before the final vote on the merits of the controversy.

3. A tenured member of the teaching staff shall be removed for cause only by a concurrent vote of a majority of the trustees present at a regular or special meeting of the Board of Trustees, if a quorum for the transaction of business is present, and if such action is taken after notice to consider removal has been given by mail or otherwise to each trustee and to the person affected at least two weeks prior to the meeting.

4. The secretary of the Board of Trustees shall advise both parties of the final decision of the Board.

5. The final disposition of the case shall be made public only after the parties to the hearing have been officially informed of the decision of the Board of Trustees. Until that time no information concerning the hearings shall be disclosed to the public.

VI. General Provisions

1. The members of the Board of Trustees, the President of the University and other officers of administration, the members of the Faculty Tenure Committee, the dean and members of the faculty, and all witnesses and other participants in any hearing, shall be absolutely privileged as to statements or publications made in connection with the hearings, and shall have complete immunity for any decision, statement of fact, or comment relating thereto.

Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-tenured Faculty Members

1. Quite aside from any question of tenure or the termination for cause of the service of a faculty member with tenure, all faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.

2. In particular, the faculty member is obligated to live up to the standards of academic freedom as outlined in this statement. Disciplinary action may

also follow when the faculty member engages in other conduct unbecoming a member of the faculty, such as violation of the New York University Rules for the Maintenance of Public Order, any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the University, and so forth.

Disciplinary Procedures

A. The following procedure is applicable where a question arises concerning an alleged violation by any member of the faculty of a rule or regulation of the University, with the exception of the proceedings brought by the appropriate official to terminate the services of a faculty member with tenure.

B. Initiation of Disciplinary Proceedings

1. Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the rules and regulations of the University, or its schools, colleges, and departments.

2. Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President or the Chancellor or the dean of the college, school, or division involved with the assent of the President or Chancellor, whenever, in the judgment of either, suspension is necessary in the interest of the University community.

3. The complaint shall be filed with the dean of the faculty member's school, except that a complaint against a dean shall be filed with the Chancellor. Complaints must be filed within ten calendar days of an alleged violation.

4. When a complaint is filed against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the member's school at the departmental level or with a committee of the faculty of that school. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Chancellor. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.

5. Where the faculty member does not have continuous or permanent tenure, the matter shall be referred, with all pertinent information, to the Chairman of the Faculty Council, who shall appoint a special committee of the faculty, either members of the Council or not, to hear the matter. The majority of the Committee members shall be from the school in which the faculty member holds primary appointment. The Chairman of the Faculty Council shall appoint the chairman of the Committee.

6. The special hearing committee shall adopt its own rules of procedure and shall have authority to impose any of the penalties, other than dismissal, listed in paragraph B. 9 and to recommend dismissal. Decisions shall be by majority vote. A recommendation for dismissal must be approved by the dean (except where he is the subject of the charge) and the Chancellor.

7. Where the faculty member has continuous or permanent tenure, and the proceeding or charge was not brought by the President, the Chancellor, or the dean of the member's school or college, specifically in order to terminate service (Title III), the matter shall be referred to the Chairman of the Faculty Tenure Committee, who shall appoint a special hearing committee and chairman from the membership of the Faculty Tenure Committee. One member of the hearing committee shall be from the college or school in which the faculty member holds primary appointment.

8. The special hearing committee of the Faculty Tenure Committee shall adopt its own rules of procedure and shall have authority by majority vote to impose any of the penalties, other than dismissal, listed in paragraph B.9. If the possibility of dismissal should be at any time involved, the procedure must follow that in Title III.

9. Penalties for violations of the rules and regulations of the University, or its schools, colleges, and departments shall include, but are not limited to, the following:

a) Reprimand
b) Censure
c) Removal of privileges
d) Suspension
e) Dismissal

Faculty Grievance Procedures

(Adopted by the University Senate, February 11, 1971)

Preface

The purpose of this proposal is to establish University procedures by means of which faculty members can seek redress of their grievances.

It seems preferable to treat all grievances as uniformly as possible, whatever the issue. However, those grievances stemming from appointment decisions ought to be dealt with in a manner that suits the general appointment procedures. It is expected that most grievance cases will be settled within each school. The schools have, under this proposal, wide latitude in establishing procedures to meet their needs.

1. If a faculty member has a grievance, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

2. Each school shall, in accordance with its procedures, establish a committee to hear grievance cases in order to advise the Dean.

3. If a faculty member's grievance is not settled informally at a level below the Dean, he may appeal to the Dean. After obtaining the recommendation of the grievance committee of the school, the Dean shall decide the case and shall notify the concerned parties and the grievance committee of his decision. (Note: This grievance procedure is not intended to affect the final authority of the Dean in matters other than those specified for review below.)

4. a) The Dean's decision can be appealed via paragraph 5 if the issue involved is a matter of reappointment (including promotion or tenure). The Central Administration shall make informal procedures available for review of the Dean's decision on matters other than those specified above.

b) Appeals on these decisions, however, can be made only on the following grounds:

1. that the procedures used to reach the appointment decision were improper, or that the case received inadequate consideration;
2. that the decision violated the academic freedom of the person in question, in which case the burden of proof is on that person.

c) Faculty members intending to make appeals shall indicate their intention in writing within 15 days after receiving notification.

5. a) If the decision of the Dean is appealed to the Central Administration, the Dean shall transmit to the Chancellor a report of the proceedings of the case at its earlier stages. After obtaining the advice of a standing committee of tenured members selected by the Faculty Council, the President and the Chancellor shall decide the case and shall notify the concerned parties.

This committee is to complete its deliberations preferably within 30 days, but in no case longer than 60 days. It cannot be used to judge professional merits, but only to ascertain whether procedural safeguards have been observed.

b) If the Dean's decision on a matter of reappointment (including promotion and tenure) is favorable to the faculty member and the Office of the Chancellor reverses that decision (without the advice of the standing committee of the Faculty Council), appeal may be made on the same grounds as those given in 4(b) and in the same manner as indicated in 5(a).

6. If the President and the Chancellor do not follow the advice of the Faculty Council Committee, they shall report the final decision, together with their reasons.

Recommendations

1. A copy of the faculty grievance procedure should accompany initial notification of a decision that is appealable by the above mechanism.

2. Final copy of the decision of the President or Chancellor should be sent to the Dean or Faculty Council, or both.

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New York University Centers

1 University Heights Center
181st Street and University Avenue

University College of Arts and Science
School of Engineering and Science

2 Institute of Fine Arts
1 East 78th Street

3 Town Hall
123 West 43d Street

4 New York University Medical Center
550 First Avenue

School of Medicine
Post-Graduate Medical School
University Hospital
Institute of Rehabilitation Medicine

5 Brookdale Dental Center of New York University

College of Dentistry
Dental Clinic
The Murry and Leonie Guggenheim Foundation Institute for Dental Research

6 Washington Square Center

School of the Arts
College of Business and Public Administration
School of Education
School of Continuing Education and Extension Services
Graduate School of Arts and Science
Graduate School of Public Administration
Graduate School of Social Work
School of Law
Washington Square College of Arts and Science
Courant Institute of Mathematical Sciences
Institute of Retail Management

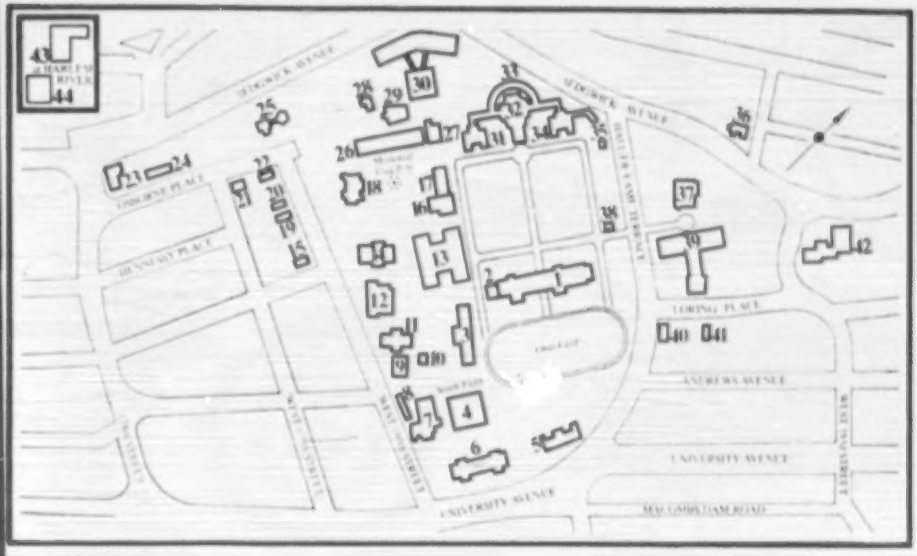
7 Graduate Business Center
100 Trinity Place

Graduate School of Business Administration
C. J. Devine Institute of Finance

Washington Square Center

1 Faculty Club (22 Washington Square North)
2 One Fifth Avenue Hotel
3 10 East Eighth Street
4 12 University Place Studio
5 1 Washington Mews
6 Gallatin House (6 Washington Square North)
7 Chase House—Graduate School of Arts and Science (5 Washington Square North)
8 Graduate School of Public Administration (4 Washington Square North)
9 School of Continuing Education and Graduate School of Social Work (3 Washington Square North)
10 Religious Center (2 Washington Square North)
11 School of Continuing Education (2 University Place)
12 The Center for Safety (15 Washington Mews)
13 Maison Française (16 Washington Mews)
14 19 University Place
15 Joe Weinstein Residence Halls (5 University Place)
16 Rufus D. Smith Hall (25 Waverly Place)
17 Samuel Rubin International Residence Hall (35 Fifth Avenue)
18 The Brittany (55 East 10th Street)
19 Barney Building (34 Stuyvesant Street)
20 School of the Arts Annex (40 East Seventh Street)
21 School of the Arts (111 Second Avenue)
22 Main—Washington Square College of Arts and Science (100 Washington Square East)
23 Waverly (24 Waverly Place)
24 Frederick Brown (29 Washington Place/285 Greene Street)
25 Kimball Hall (22 Waverly Place/246 Greene Street)
26 21 Washington Place
27 Press (32 Washington Place)
28 Press Annex (26 Washington Place)
29 East—The Book Center (18 Washington Place/239 Greene Street)
30 80 Washington Square East
31 South (51 West Fourth Street)
32 Education (35 West Fourth Street)
33 New York University Placement Services (10 Washington Place)
34 Institutional Facilities and Services (15 West Fourth Street)
35 Physics Research Center (4 Washington Place)
36 707 Broadway
37 Sites for Educational Buildings
A. The Farkas Building—new Schools of Education and Graduate Social Work Building
B. Elmer H. Bobst Library and Study Center *(under construction)*
C. Hagop Kevorkian Center *(under construction)*
38 New York University Post Office (9 West Third Street)
39 Warren Weaver Hall—Courant Institute of Mathematical Sciences (251 Mercer Street)
40 Commerce (50 West Fourth Street)
41 Loeb Student Center (566 La Guardia Place)
42 Judson Residence Hall and International Student Center (53-54 Washington Square South)
43 Legal Aid Society and Law Review Offices (249 Sullivan Street)
44 Vanderbilt Hall—School of Law (40 Washington Square South)
45 New York University Maintenance Shops (108 West Third Street)
46 Hayden Residence Hall (33 Washington Square West)
47 The Reading Institute (725 Broadway)
48 Andre and Bella Meyer Hall of Physics (4 Washington Place)
49 Tisch Hall—new College of Business and Public Administration Building (40 West Fourth Street)

University Heights Center



1 Gould Student Center — *Campus Store, Commons*
2 Gould Annex
3 Nichols Building for Chemistry
4 Alumni Gymnasium
5 Gould Residence Hall
6 Loew Residence Hall — *Health Service*
7 M.E.D.I. Building
8 Systems Science Laboratory
9 New Hall
10 Nuclear Engineering Laboratory
11 Bliss Building
12 Guggenheim Building
13 Technology II Building — *Engineering and Science Laboratory*
14 Sage Engineering Building
15 Language House, 1971 Loring Place South
16 Havemeyer Annex
17 Havemeyer Laboratory
18 South Hall — *School of Engineering and Science Administration*
19 History House, 190 West 180th Street
20 Government House, 194 West 180th Street
21 1950 Osborne Place
22 Engineering Research Building No. 5, 206 West 180th Street
23 Carpenter Sanitary Engineering Research Laboratory
24 Environmental Health Engineering Building
25 West Hall and Annex — *Department of Music*
26 Gould Hall of Technology
27 Charles Butler Hall
28 Stevenson House — *Faculty Club, Office of the Provost, Financial Aid*
29 Begresch Lecture Hall
30 Julius Silver Residence Center
31 Hall of Languages — *University College Administration*
32 Gould Memorial Library
33 Hall of Fame for Great Americans
34 Cornelius Baker Hall of Philosophy
35 Hall of Fame Information Pavilion
36 Alsschul House — *Religious Center*, 2205 Sedgwick Avenue
37 MacCracken Hall, 181 Hall of Fame Terrace
38 Gate House
39 Patterson Training Center — *Armory*
40 John Ben Snow Hall, 135 Hall of Fame Terrace
41 English House, 2202 Loring Place
42 North Hall and Sedgwick Avenue Residence Hall, 123-27 West 183d Street
43 NASA Aerospace Laboratory, Cedar Avenue at 177th Street and Harlem River
44 Engineering Research Building No. 1, Cedar Avenue at 177th Street and Harlem River

Not Shown

Engineering Research Building No. 3, Major Deegan Expressway and Fordham Landing Road

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How To Reach Washington Square

Lexington Avenue (*Interborough*) Subway (IRT)
Local to Astor Place Station. Walk west on Astor Place to Broadway, then south on Broadway to Waverly Place, and west on Waverly Place to Washington Square.

Broadway (*Brooklyn-Manhattan*) Subway (BMT)
Fourth Avenue local to Eighth Street Station. Walk south on Broadway to Waverly Place, then west on Waverly Place to Washington Square.

Sixth or Eighth Avenue (*Independent*) Subway (IND)
Express to West Fourth Street—Washington Square Station. Walk east on West Fourth Street or Waverly Place to Washington Square.

Seventh Avenue (*Interborough*) Subway (IRT)
Local to Sheridan Square Station. Walk east on Waverly Place to Washington Square.

Fifth Avenue Bus
Buses numbered 1, 2, 2A, 3, and 5 to Eighth Street and University Place. Walk one block south to Washington Square.

Eighth Street Crosstown Bus
Bus numbered 13 to University Place. Walk one block south to Washington Square.

Broadway Bus
Bus numbered 6 to Waverly Place. Walk two blocks west to Washington Square.

How To Reach University Heights

Seventh Avenue (*Interborough*) Subway (IRT)
Van Cortlandt Park express to 181st Street. Take University Avenue bus to the campus.

Sixth or Eighth Avenue (*Independent*) Subway (IND)
Eighth Avenue Washington Heights express to 181st Street. Walk east one block to Broadway and take University Avenue bus to the campus. Sixth Avenue Grand Concourse express to 183d Street and walk west on 183d Street to Loring Place and then south to the campus.

Lexington Avenue (*Interborough*) Subway (IRT)
Woodlawn express to New York University—180th Street Station (Burnside Avenue). Walk west on Burnside Avenue to University Avenue, then north on University Avenue to the campus.

Penn Central Railroad
(Hudson River Division) to University Heights Station, take 207th Street crosstown bus east to Loring Place, and walk south to the campus.
(Harlem Division) to Fordham Station, take 207th Street crosstown bus west to Loring Place, and walk south to the campus.

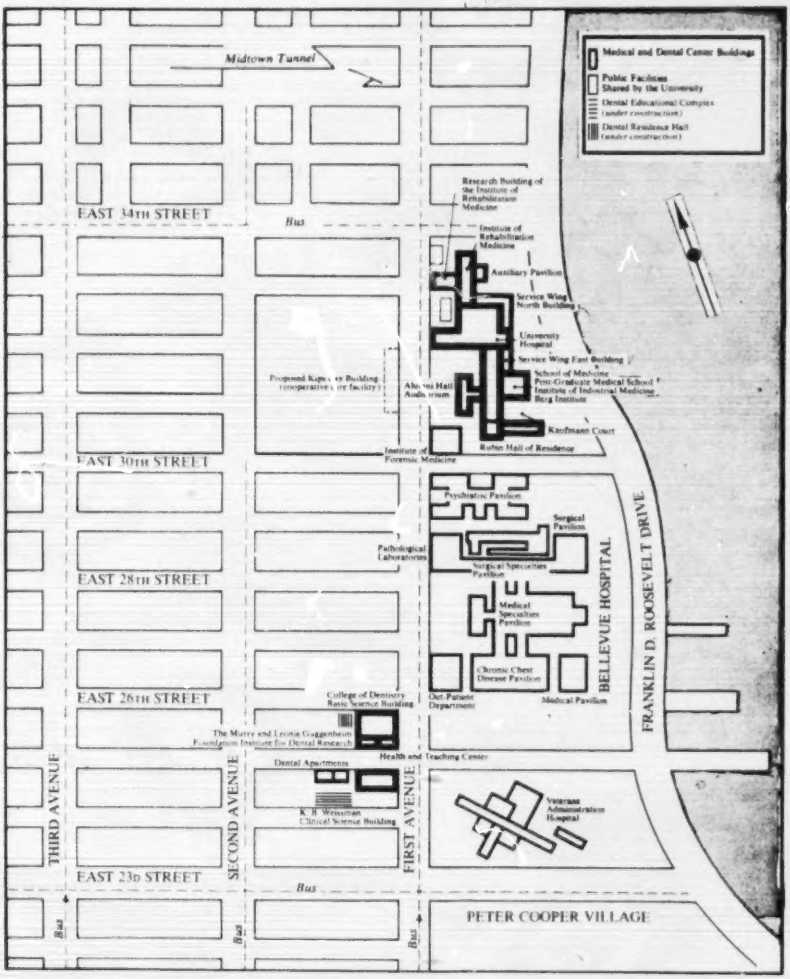
West Side Highway Motor Route
Drive north to George Washington Bridge, then east to 181st Street Bridge, east across bridge to University Avenue, then north to the campus.

East River Drive Motor Route
Drive north to 125th Street, across Willis Avenue Bridge to Major Deegan Expressway, then north to exit marked "West 179th Street."

Triborough Bridge Route
Drive to Major Deegan Expressway, then north to exit marked "West 179th Street."

Thruway Route
Drive south to Major Deegan Expressway, exit at Fordham Road, then east to University Avenue, and south to the campus.

New York University Medical and Dental Centers



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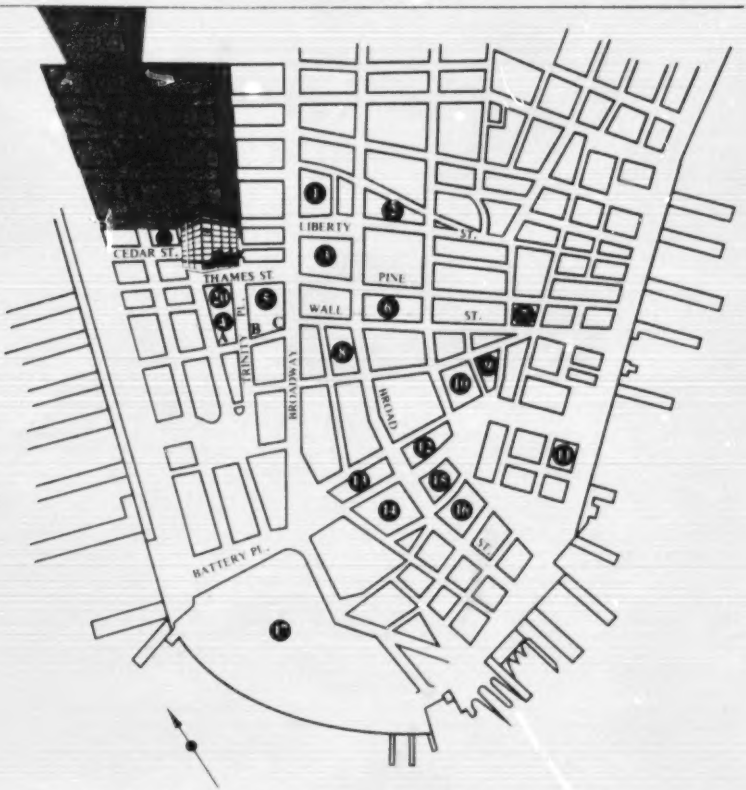
Graduate Business Center



1. Chamber of Commerce
2. Federal Reserve Bank of New York
3. New York Clearing House
4. American Stock Exchange
5. Trinity Church
6. Federal Hall Museum
7. Coffee and Sugar Exchange
8. New York Stock Exchange
9. New York Cocoa Exchange
10. New York Cotton Exchange
11. U.S. Assay Office
12. Commodity Exchange
13. New York Produce Exchange
14. The Custom House
15. Maritime Exchange
16. Fraunces Tavern
17. Castle Clinton National Monument
18. **World Trade Center** (*under construction*)
19. Nichols Hall — Graduate School of Business Administration
20. N.Y.U. Charles E. Merrill Hall (*under construction*)

Subway Stations

A. IRT Seventh Avenue (No. 1 Line)
B. BMT (EE and RR Lines)
C. IRT Lexington Avenue (No. 4 and No. 5 Lines)
D. IND Eighth Avenue (AA, E, and CC Lines)

How To Reach New York University Medical Center

Lexington Avenue *(Interborough)* Subway (IRT)
Local to 33d Street Station. Walk east to First Avenue.

Seventh Avenue *(Interborough)* Subway (IRT)
Express to 33d Street Station. Walk east or take crosstown bus to First Avenue.

Broadway *(Brooklyn-Manhattan)* Subway (BMT)
Express to 34th Street Station. Walk east or take crosstown bus to First Avenue.

Sixth or Eighth Avenue *(Independent)* Subway (IND)
Express to 34th Street Station. Walk east or take crosstown bus to First Avenue.

How To Reach the College of Dentistry

Lexington Avenue *(Interborough)* Subway (IRT)
Local to 23d or 28th Street Station. Walk east to First Avenue and 25th Street to the College of Dentistry.

Seventh Avenue *(Interborough)* Subway (IRT)
Local to 23d or 28th Street Station. Walk east or take 23d Street crosstown bus to First Avenue, walk north to 25th Street to the College of Dentistry.

Broadway *(Brooklyn-Manhattan)* Subway (BMT)
Fourth Avenue local to 23d or 28th Street Station. Walk east to First Avenue and 25th Street to the College of Dentistry.

Sixth or Eighth Avenue *(Independent)* Subway (IND)
Local to 23d Street Station. Walk east or take 23d Street crosstown bus to First Avenue, walk north to 25th Street to the College of Dentistry.

Third Avenue Bus, Second Avenue Bus, and First Avenue Bus
To 25th Street. Walk to the College of Dentistry.

How To Reach the Graduate Business Center

Seventh Avenue (*Interborough*) Subway (IRT)
Express to Chambers Street, then local to Rector Street Station. Walk east one block, then north on Trinity Place to Nichols Hall.

Broadway (*Brooklyn-Manhattan*) Subway (BMT)
Fourth Avenue local to Rector Street Station. Walk north one block on Trinity Place to Nichols Hall.

Eighth Avenue (*Independent*) Subway (IND)
At Hudson Terminal Station walk south on Church Street and continue south on Trinity Place for five blocks to Nichols Hall.

Lexington Avenue (*Interborough*) Subway (IRT)
Express to Wall Street. Walk west on Rector Street one block, then north one block on Trinity Place to Nichols Hall.

Faculty Handbook, Edition of 1972

Changes Applicable, as of April 30, 1974

Numerous minor changes have taken effect since this handbook was published in April 1972.

The most substantive change to which attention is called relates to pages 29 and 34:

The retirement age (68) mentioned for officers of instruction has been changed, by action of the Board of Trustees in amending the Bylaws, to 65 years.

The sale of the Heights campus in the summer of 1973 has rendered all references to that locale obsolete. The School of Engineering and Science merged with the former Polytechnic Institute of Brooklyn to form the new Polytechnic Institute of New York beginning in the fall of 1973, and the merger within New York University of University College and Washington Square College to form the Washington Square and University College of Arts and Science also took effect at that time.

The functions of the Senate, described on pages 19 and 20, are essentially unchanged, but its membership has been varied by the mergers noted above, as well as by the authorization of at-large Senators. The membership can now vary from sixty-one to sixty-nine Senators.

In the Patent Policy Statement, pages 75 through 79, the text of Part II, Administration, paragraph (a) has been amended by the Board of Trustees to read as follows:

> (a) A committee of six members from the staff of the University shall be appointed by the Chancellor to direct the patent policy of the University. Such committee, known as the University Committee on Inventions and Patents (hereinafter sometimes referred to as the "University Committee"), shall consist of: one member representing the arts and science faculties; one member representing the medical faculties; one member representing the dental faculty; one member representing the other schools, colleges, and divisions of the University; one member representing legal counsel; and one member designated by the Chancellor to serve as chairman.

New Faculty Grievance Procedures, dated May, 1973, replace the text on pages 103-104.

Faculty Grievance Procedures

Preface

The purpose of these regulations is to establish University procedures by means of which faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when he initiates the appellate grievance procedure under B, infra.

A. Faculty Grievances, General

Faculty grievances are classified into two main types:

1. Those connected with appointment, reappointment, promotion, or tenure.

2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Although it may be preferable to treat all grievances as uniformly as possible, whatever the issue, those stemming from appointment decisions must be dealt with in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is in the statement on Academic Tenure and the regulations and procedures on Appointment and Notification of Appointment (see Faculty Handbook pp. 33-34). It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs.

3. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

4. Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the Dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be tenured members of the faculty. It shall not include departmental chairmen or departmental heads or any faculty member whose primary assignment is administrative.

5. If a faculty member's grievance is not settled informally at a level below the Dean, or by the Dean himself, he may appeal to the Dean to convoke the grievance committee of the school or faculty. The Dean shall do so within 15 working days. After obtaining the recommendation of the grievance committee, the Dean shall decide the case and in writing shall notify the concerned parties and the grievance committee of his decision, together with reasons therefor, and information on the procedure for appeal.

6. If a faculty member has no grievance at a level below the Dean but the Dean makes a decision against the faculty member, the latter may request the Dean

for a hearing before the grievance committee of the school or faculty. The Dean shall convoke the grievance committee within 15 working days. After receiving the recommendation of the committee, the Dean shall then make his final decision and shall notify as in A-5.

B. Appeal From a Dean's Decision on Appointment, Reappointment, Promotion, or Tenure.

1. Appeals from such decisions can be made only on the following grounds:

(a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration;

(b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on that person.

2. A faculty member intending to make an appeal shall indicate such intention in writing to the Chancellor of the University within 15 days after receiving written notification of the Dean's decision. An exception to this may be made only with the consent of the grievant, the Dean, and the Chancellor.

3. Where such an appeal is made, the Dean shall transmit to the Chancellor a report of the proceedings in the case at its earlier stages. The Chancellor shall in each case obtain the advice of a standing committee of no less than 3 tenured faculty members selected by the Faculty Council but not necessarily members of that body. This committee shall be called the Faculty Council Grievance Committee.

4. The Faculty Council Grievance Committee shall hold a hearing and shall complete its deliberations and notify the Chancellor of its recommendations, preferably within 30 days of the close of the hearing, but in any case within 60 days.

5. The Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed from is is so arbitrary that it has no rational foundation may be considered on the issue of "inadequate consideration" (B-1-a above).

6. The Committee shall at all times follow the requisites of a fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.

7. After receiving the advice of the Faculty Council Committee, the President and the Chancellor shall decide the case and notify the grievant, the Dean, and the Chairman of the Faculty Council Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.

8. If the Dean's decision is favorable to the faculty member and hence is not appealed and the Office of the Chancellor reverses that decision without seeking the advice of the Faculty Council Grievance Committee as described in B-1 through 7, the faculty member may then invoke the appeal procedure.

C. Appeal From a Dean's Decision on matters such as duties, salaries, perquisites, and working conditions (A-2 above).

Where such an appeal is desired by a faculty member and the Chancellor of the University is so informed within 15 days after the member is notified of the decision, the Central Administration shall make informal procedures available.

Appeal from the Dean's decision can be made only on the same grounds as in B-1 above.

D. Copies of the Grievance Procedures.

A copy of the school's grievance procedure and of this appellate procedure should be given to each full-time faculty member.

The present text supersedes and replaces the section on "Faculty Grievance Procedures" in the NYU Faculty Handbook, 1972 edition, pages 103-104. This text, approved by the Senate on May 10, 1973, was endorsed on May 21, 1973 by the Board of Trustees as an appendix to the "Statement in Regard to Academic Freedom and Tenure" (see Faculty Handbook, pp. 27 ff).